(b) (6), (b) (7)(C)

Subject: 15 min w/ (b) (6), (b) (7)(C) (OCC)
Location: Chief's Office

Start: Fri 10/5/2018 1:30 PM
End: Fri 10/5/2018 2:00 PM

Recurrence: (none)

Meeting Status: Meeting organizer

Organizer: PROVOST, CARLA (USBP)
Required Attendees: (b) (6), (b) (7)(C)

RE: USBP Selections

(b) (6), (b) (7)(C)

Subject: 20 min meet/greet w/Egyptian Defense Attaché
Location: Chief's Office

Start: Tue 10/9/2018 11:00 AM
End: Tue 10/9/2018 11:20 AM

Recurrence: (none)

Meeting Status: Meeting organizer

Organizer: PROVOST, CARLA (USBP)
Required Attendees: LUCK, SCOTT A (USBP)
Optional Attendees: (b) (6), (b) (7)(C)

Egyptian Ministry of Defense Attaché to the U.S., (b) (6) (meet and greet and formally invite B1/B2 to visit Egypt)

(b) (6), (b) (7)(C)

Subject: 2018 DHS Senior Leadership Forum
Location: DAR Constitution Hall – 1776 D Street NW, Washington, DC 20006 (enter on 18th Street NW)

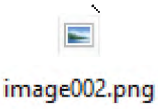
Start: Wed 11/7/2018 8:00 AM
End: Wed 11/7/2018 12:30 PM

Recurrence: (none)

Meeting Status: Accepted

Organizer: Leadership Forum

Importance: High



Department of Homeland Security
Senior Leadership Forum

Please join the Secretary and the Acting Deputy Secretary to discuss the Department's priorities.

Wednesday, November 7, 2018
8:00 a.m. – 12:30 p.m.
Registration begins at 8 a.m., program begins at 8:30 a.m.

DAR Constitution Hall
1776 D Street, NW
(enter on 18th Street NW)
Washington, DC 20006

Please return for the Secretary's Awards Ceremony which starts at 2 p.m.

Additional information is available on Connect.

Individuals requiring reasonable accommodation or alternate formats are asked to submit their requests to (b) (6) by October 25, 2018.

Please ensure you have your PIV card, as it is required by Security for entrance.

(b) (6), (b) (7)(C)

Subject: 2018 Secretary's Awards Ceremony
Location: DAR Constitution Hall 1776 D St, NW

Start: Wed 11/7/2018 2:00 PM
End: Wed 11/7/2018 4:00 PM

Recurrence: (none)

Organizer: PROVOST, CARLA (USBP)

(b) (6)

Secretary of Homeland Security Kirstjen M. Nielsen
invites you to the

2018 Secretary's Awards Ceremony

as we celebrate and honor the achievements and exemplary contributions of our colleagues throughout the Department.

Wednesday, the seventh of November 2018
at two o'clock in the afternoon

DAR Constitution Hall
1776 D Street, NW
Washington, DC 20006

All employees and guests of the award recipients are invited to attend the ceremony. DHS employees must present their DHS identification to enter. All non-DHS attendees must be escorted by DHS personnel. Additional logistics and transportation information is forthcoming.

If you require reasonable accommodations, please email (b) (6) *by Friday, November 2.*

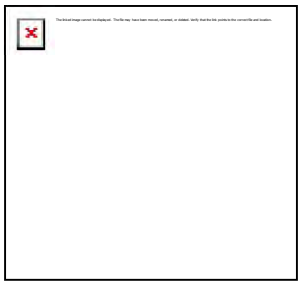
(b) (6), (b) (7)(C)

From: PROVOST, CARLA (USBP)
Sent: Wednesday, October 24, 2018 1:58 PM
To: (b) (6), (b) (7)(C)
Subject: Fwd: Invitation to the 2018 Secretary's Awards Ceremony
Attachments: image001.png

Carla L. Provost
Chief - USBP
(w
(c) (b) (6)

Begin forwarded message:

From: DHS Management Communications (b) (6)
Date: October 24, 2018 at 6:01:10 PM GMT+3
To: Undisclosed recipients:;
Subject: Invitation to the 2018 Secretary's Awards Ceremony



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(b) (6), (b) (7)(C)

Subject: (b) (6), (b) (7)(C)

Start:
End:
Show Time As:

Recurrence:

Organizer:

Categories:

(b) (6), (b) (7)(C)

Subject: ALC prep

Start: Mon 10/29/2018 10:30 AM
End: Mon 10/29/2018 11:00 AM

Recurrence: (none)

Organizer: PROVOST, CARLA (USBP)

(b) (6), (b) (7)(C)

Subject: AMO-BP Update with HAC/SAC
Location: 2006 Rayburn House Office Building

Start: Tue 10/2/2018 2:30 PM
End: Tue 10/2/2018 3:30 PM
Show Time As: Tentative

Recurrence: (none)

Meeting Status: Not yet responded

Organizer: CONGRESSIONAL EVENTS CALENDAR
Required Attendees: JOHN P LADOWICZ (b) (6), (b) (7)(C) YOUNG, EDWARD E; PROVOST, CARLA (USBP)
Optional Attendees: (b) (6), (b) (7)(C) MICHELINI, DENNIS J; BOYER, STEPHEN A; (b) (6), (b) (7)(C)

BRIEFING: On Tuesday, October 2, at 2:30 p.m. in Rayburn House Office Building room 2006, Chief Provost and Executive Assistant Commissioner Young will meet with Senate and House Appropriations Homeland Security Subcommittee staff to provide an update on the AMO-BP Working Group. Assistant Commissioner Pete Ladowicz is coordinating for OCA.

LOGISTICS: OCA will provide transport departing from RRB 14th Street Entrance at 2:00 p.m.

(b) (6), (b) (7)(C)

Subject: (b) (6), (b) (7)(C)

Start:
End:
Show Time As:

Recurrence:

Organizer:

Categories:

(b) (6), (b) (7)(C)

Subject: B1 meet w/General (b) (6)
Location: Chief's Office

Start: Wed 10/3/2018 1:00 PM
End: Wed 10/3/2018 2:00 PM

Recurrence: (none)

Meeting Status: Meeting organizer

Organizer: PROVOST, CARLA (USBP)
Resources: USBP CONFERENCE ROOM (b) (7)(

(b) (6), (b) (7)(C)

Subject: B1/B2 call w/(b) (6), (b) (7)(C)

Start: Tue 10/9/2018 12:30 PM
End: Tue 10/9/2018 1:00 PM

Recurrence: (none)

Meeting Status: Meeting organizer

Organizer: PROVOST, CARLA (USBP)
Required Attendees: LUCK, SCOTT A (USBP); HUDSON, RICHARD M; (b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)

Subject: B1/B2 meet w/CPA (b) (6), (b) (7)(C)
Location: Chief's Office

Start: Thu 10/11/2018 12:00 PM
End: Thu 10/11/2018 1:00 PM

Recurrence: (none)

Meeting Status: Meeting organizer

Organizer: PROVOST, CARLA (USBP)
Required Attendees: (b) (6), (b) (7)(C) LUCK, SCOTT A (USBP)

(b) (6), (b) (7)(C)

Subject: B1/B2 meet with Chief Padilla
Location: Chief's Office

Start: Wed 10/10/2018 4:00 PM
End: Wed 10/10/2018 5:00 PM

Recurrence: (none)

Organizer: PROVOST, CARLA (USBP)

(b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)

From: HUDSON, RICHARD M
Sent: Wednesday, October 10, 2018 3:20 PM
To: LUCK, SCOTT A (USBP); PROVOST, CARLA (USBP)
Cc: (b) (6), (b) (7)(C)
Subject: Chief Padilla meeting bump

Chiefs,

Just got a call from Chief Padilla. His 1600 meeting with C1 has been moved to 1700. He asked if he could come by around 1600…. I checked your calendars and told him "yes." Apologies if I overstepped, but I did not think you wanted to be here late since he probably won't get out from the C1 meeting until 1800.

I did tell him we had the hurricane call at 1700 – which is when he needs to leave anyway.

If this is an issue, please let me know.

VR

Rich

Richard M. Hudson
Acting Chief
Law Enforcement Operations Directorate
U.S. Border Patrol Headquarters
(b) (6), (b) (7)(C) office
cellular

CONFIDENTIALITY NOTICE: This e-mail message, including any attachments, is for the sole use of the intended recipient(s) and may contain confidential and privileged information or otherwise protected by law. Any unauthorized review; use, disclosure or distribution is prohibited. If you are not the intended recipient, please contact the sender by reply e-mail and destroy all copies of the original message.

(b) (6), (b) (7)(C)

Subject: B1/B2 Quarterly Quals
Location: (b) (7)(E)

Start: Fri 11/30/2018 8:15 AM
End: Fri 11/30/2018 12:00 PM
Show Time As: Out of Office

Recurrence: (none)

Meeting Status: Meeting organizer

Organizer: PROVOST, CARLA (USBP)
Required Attendees: LUCK, SCOTT A (USBP); (b) (6), (b) (7)(C)
HUDSON, RICHARD M
Optional Attendees: (b) (6), (b) (7)(C)

Categories: Training

Friday, November 30, 2018

(b) (7)(E)

(b) (6), (b) (7)(C)

Subject: BLOCK - Reserved

Start: Tue 10/30/2018 12:00 PM
End: Tue 10/30/2018 1:00 PM

Recurrence: (none)

Organizer: PROVOST, CARLA (USBP)

(b) (6), (b) (7)(C)

Subject: (b) (6), (b) (7)(C)
Location:

Start:
End:

Recurrence:

Organizer:

(b) (6), (b) (7)(C)

Subject: BP OPORD FY19 Briefing
Location: Commissioner's Small Conference Room

Start: Wed 10/10/2018 1:00 PM
End: Wed 10/10/2018 2:00 PM
Show Time As: Tentative

Recurrence: (none)

Meeting Status: Tentatively accepted

Organizer: CBP DEPUTY COMMISSIONER SCHEDULER
Required Attendees: PROVOST, CARLA (USBP); LUCK, SCOTT A (USBP); HUDSON, RICHARD M; DCC10A-RMB-COMMISSIONER-CN-RM
Optional Attendees: (b) (6), (b) (7)(C)

Attendees:
C2
B1
B2
Chief Hudson.

(b) (7)(E)

(b) (7)(E)

(b) (7)(E)

(b) (7)(E)

(b) (7)(E)

(b) (7)(E)

(b) (7)(E)

(b) (7)(E)

(b) (7)(E)

(b) (7)(E)

(b) (7)(E)

(b) (7)(E)

(b) (7)(E)

(b) (7)(E)

(b) (7)(E)

(b) (6), (b) (7)(C)

Subject: BP-AMO Discussion with Approps Staff
Location: Rayburn 2006

Start: Tue 10/2/2018 2:30 PM
End: Tue 10/2/2018 3:30 PM

Recurrence: (none)

Meeting Status: Accepted

Organizer: LADOWICZ, JOHN P

(b) (6), (b) (7)(C)

Subject:	*C2 to Chair* Agency Leadership Council (ALC)
Location:	Commissioner's Large Conference Room
Start:	Mon 10/29/2018 1:00 PM
End:	Mon 10/29/2018 2:00 PM
Show Time As:	Tentative
Recurrence:	(none)
Meeting Status:	Tentatively accepted
Organizer:	CBP COMMISSIONER SCHEDULER
Required Attendees:	Owen, Todd C (AC OFO); SMITH, BRENDA BROCKMAN; (b) (6), (b) (7)(C) OC BRIEFING STAFF; FLANAGAN, PATRICK S; KOLBE, KATHRYN; PEREZ, ROBERT E; PROVOST, CARLA (USBP); (b) (6), (b) (7)(C) YOUNG, EDWARD E; DCC10A-RMB-COMMISSIONER-CN-RM; MCALEENAN, KEVIN K; LANDFRIED, PHIL A; BHAGOWALIA, SONNY; JACKSTA, LINDA L (DEAC OS); SANDERS, JOHN P; HENDERSON, RACHELLE B.; COSTELLO, ROBERT J; MILLS, THOMAS J; (b) (6), (b) (7)(C); HARRIS, MELVIN; (b) (6), (b) (7)(C) [redacted] HUFFMAN, BENJAMINE C; WAGNER, JOHN P; (b) (6), (b) (7)(C) (CTR)
Optional Attendees:	KOUMANS, MARK

(b) (6), (b) (7)(C)

Subject: Call (b) (6), (b) (7)(C)

Start: Fri 10/5/2018 12:30 PM
End: Fri 10/5/2018 1:00 PM

Recurrence: (none)

Organizer: PROVOST, CARLA (USBP)

(b) (6), (b) (7)(C)

Subject: Call FROM General (b) (6) DHS RFA for DoD Support to SWB
Location: NAC, AS2 Office (b) (7)(E) Pin: (b) (7)(E)

Start: Fri 10/26/2018 5:30 PM
End: Fri 10/26/2018 5:45 PM

Recurrence: (none)

Meeting Status: Accepted

Organizer: Grady.Scheduler

DO NOT FORWARD OR COPY THIS INVITATION
If there are any questions, please contact (b) (6)

Attendees:
Acting Deputy Secretary Grady
(b) (6), (b) (7)(C)
Chief Carla Provost
Chief Scott Luck

Materials:
No

(b) (6), (b) (7)(C)

Subject: call w/ (b) (6) of South Texas Property Rights Association
Location: (b) (7)(E)

Start: Wed 10/10/2018 2:00 PM
End: Wed 10/10/2018 2:20 PM

Recurrence: (none)

Meeting Status: Meeting organizer

Organizer: PROVOST, CARLA (USBP)
Required Attendees: (b) (6)

(b) (7)(E)

(b) (7)(E), (b) (5)

(b) (6), (b) (7)(C)

Subject: Canceled: Caravan Discussion
Location: ICE HQ

Start: Mon 10/22/2018 5:00 PM
End: Mon 10/22/2018 6:00 PM
Show Time As: Free

Recurrence: (none)

Meeting Status: Tentatively accepted

Organizer: CBP COMMISSIONER SCHEDULER
Required Attendees: Owen, Todd C (AC OFO); YOUNG, EDWARD E; LUCK, SCOTT A (USBP); ICE.Scheduler; (b) (6), (b) (7)(C) FLANAGAN, PATRICK S; PETERLIN, MEGHANN K; CBP DEPUTY COMMISSIONER SCHEDULER; C1 Security

Importance: High

This meeting will now be at ICE HQ, with the following CBP Participants

C1
C2
EAC Owen
EAC Young
Deputy Chief Luck

(b) (6), (b) (7)(C)

Subject: Canceled: CBA discussion
Location: Chief's Teaming Area

Start: Thu 10/25/2018 3:30 PM
End: Thu 10/25/2018 4:00 PM
Show Time As: Free

Recurrence: (none)

Meeting Status: Accepted

Organizer: LUCK, SCOTT A (USBP)
Required Attendees: PROVOST, CARLA (USBP); (b) (6), (b) (7)(C)
MARTIN, JERRY B; HUFFMAN, BENJAMINE C; (b) (6), (b) (7)(C) HASTINGS, BRIAN S

Importance: High

(b) (6), (b) (7)(C)

Subject: Canceled: Meet w/ OPA
Location: Chief's Teaming Area

Start: Thu 10/25/2018 2:00 PM
End: Thu 10/25/2018 2:30 PM
Show Time As: Free

Recurrence: (none)

Meeting Status: Accepted

Organizer: LUCK, SCOTT A (USBP)
Required Attendees: (b) (6), (b) (7)(C) PROVOST, CARLA (USBP); MEEHAN, ANDREW C

Importance: High

(b) (6), (b) (7)(C)

Subject: Canceled: Org. Change Package/Career Path Brief's
Location: Chief's Teaming Area

Start: Thu 10/25/2018 2:30 PM
End: Thu 10/25/2018 3:00 PM
Show Time As: Free

Recurrence: (none)

Meeting Status: Accepted

Organizer: LUCK, SCOTT A (USBP)
Required Attendees: PROVOST, CARLA (USBP); HOOVER, CRINLEY S; (b) (6), (b) (7)(C)

Importance: High

Forward invite to appropriate POCs.

(b) (6), (b) (7)(C)

Subject: Canceled: Reserved

Start: Thu 10/25/2018 1:00 PM
End: Thu 10/25/2018 2:00 PM
Show Time As: Free

Recurrence: (none)

Meeting Status: Accepted

Organizer: LUCK, SCOTT A (USBP)
Required Attendees: PROVOST, CARLA (USBP)

Importance: High

(b) (6), (b) (7)(C)

Subject: Canceled: Retention Brief Prep w/ MROD
Location: Chief's Teaming Area

Start: Thu 10/25/2018 8:00 AM
End: Thu 10/25/2018 8:30 AM
Show Time As: Free

Recurrence: (none)

Meeting Status: Accepted

Organizer: LUCK, SCOTT A (USBP)
Required Attendees: PROVOST, CARLA (USBP); HOOVER, CRINLEY S; (b) (6), (b) (7)(C)

Importance: High

(b) (6), (b) (7)(C)

Subject: Canceled: Travel to 7&D
Location: RRB>>>7&D

Start: Thu 10/25/2018 11:10 AM
End: Thu 10/25/2018 11:30 AM
Show Time As: Free

Recurrence: (none)

Meeting Status: Accepted

Organizer: CBP DEPUTY COMMISSIONER SCHEDULER
Required Attendees: (b) (6), (b) (7)(C) LUCK, SCOTT A (USBP); PROVOST, CARLA (USBP)
Optional Attendees: (b) (6), (b) (7)(C)

Importance: High

Driver:
(b) (6), (b) (7)(C) or (b) (6), (b) (7)(C)

(b) (7)(E), (b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)

Subject: Canceled: USBP Retention Incentive
Location: Commissioner's Small Conference Room

Start: Fri 10/12/2018 10:00 AM
End: Fri 10/12/2018 10:30 AM
Show Time As: Free

Recurrence: (none)

Meeting Status: Not yet responded

Organizer: CBP DEPUTY COMMISSIONER SCHEDULER
Required Attendees: (b) (6), (b) (7)(C) PROVOST, CARLA (USBP); KOLBE, KATHRYN; GRABLE, SAMUEL D; (b) (6), (b) (7)(C) HARRIS, MELVIN; (b) (6), (b) (7)(C)

Importance: High

Please do not forward this invite, if you require assistance with this invite please contact (b) (6), (b) (7)(C) or (b) (6), (b) (7)(C)

Attendees:
A-C2
Chief Carla Provost
XD Scott Hoover
EAC Katherine Kolbe
AC Samuel Grable
(b)(6)(b)(7)(C)
DAC Melvin Harris
(b) (6), (b) (7)(C)

(b) (5)

(b) (5), (b) (7)(E)

(b) (5), (b) (7)(E)

(b) (5), (b) (7)(E)

(b) (5), (b) (7)(E)

(b) (5)

(b) (5), (b) (7)(E)

(b) (5), (b) (7)(E)

(b) (5), (b) (7)(E)

(b) (5), (b) (7)(E)

(b) (5), (b) (7)(E)

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(b) (5), (b) (7)(E)

(b) (5), (b) (7)(E)

(b) (5), (b) (7)(E)

(b) (5), (b) (7)(E)

(b) (5), (b) (7)(E)

(b) (5), (b) (7)(E)

(b) (5), (b) (7)(E)

(b) (5), (b) (7)(E)

(b) (6), (b) (7)(C)

Subject: Canceled: USBP Retention Incentive Discussion *new day/time/location*
Location: OUSM NAC CR 01-045

Start: Mon 11/19/2018 3:00 PM
End: Mon 11/19/2018 3:30 PM
Show Time As: Free

Recurrence: (none)

Meeting Status: Not yet responded

Organizer: Scheduler2, OUSM
Required Attendees: (b) (6), (b) (7)(C) a; PEREZ, ROBERT E; SANDERS, JOHN P; PROVOST, CARLA (USBP); LUCK, SCOTT A (USBP); GRABLE, SAMUEL D; HARRIS, MELVIN; HOOVER, CRINLEY S
Optional Attendees: (b) (6), (b) (7)(C) (CTR)

Importance: High

DO NOT FORWARD OR COPY THIS INVITATION
If there are any questions, or you would like to request someone be added to this appointment - please contact (b) (6) or (b) (6)

Participants:
Deputy Under Secretary (b) (6)
Chief Human Capital Officer (b) (6)
Acting Deputy Commissioner Perez
Chief Operating Officer Sanders
Chief Provost, US Border Patrol
Deputy Chief Luck, US Border Patrol
Executive Director Hoover, US Border Patrol
Assistant Commissioner Grable, Office of Finance
Acting Assistant Commissioner Harris, Human Resource Management

(b) (6), (b) (7)(C)

Subject: Caravan
Location: Call

Start: Fri 10/26/2018 4:45 PM
End: Fri 10/26/2018 5:45 PM

Recurrence: (none)

Meeting Status: Accepted

Organizer: LUCK, SCOTT A (USBP)
Required Attendees: PROVOST, CARLA (USBP); (b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)

Subject: Caravan
Location: Call

Start: Thu 10/25/2018 3:00 PM
End: Thu 10/25/2018 4:00 PM
Show Time As: Tentative

Recurrence: (none)

Meeting Status: Not yet responded

Organizer: LUCK, SCOTT A (USBP)
Required Attendees: PROVOST, CARLA (USBP); (b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)

Subject: Caravan Discussion
Location: Commissioner's Small Conference Room

Start: Mon 10/22/2018 3:00 PM
End: Mon 10/22/2018 4:00 PM
Show Time As: Tentative

Recurrence: (none)

Meeting Status: Not yet responded

Organizer: CBP COMMISSIONER SCHEDULER
Required Attendees: Owen, Todd C (AC OFO); PROVOST, CARLA (USBP); YOUNG, EDWARD E; LUCK, SCOTT A (USBP); FALK, SCOTT K (OCC); (b) (6), (b) (7)(C) (NCO); (b) (6), (b) (7)(C) KOLBE, KATHRYN; JACKSTA, LINDA L (DEAC OS); SMITH, BRENDA BROCKMAN; LADOWICZ, JOHN P; LOWRY, KIM M; MEEHAN, ANDREW C; BOYD, VALERIE S; FLANAGAN, PATRICK S; PETERLIN, MEGHANN K; SANDERS, JOHN P; CBP DEPUTY COMMISSIONER SCHEDULER

(b) (6), (b) (7)(C)

Subject: Caravan pre-brief
Location: Teaming area

Start: Mon 10/29/2018 11:00 AM
End: Mon 10/29/2018 11:30 AM

Recurrence: (none)

Meeting Status: Meeting organizer

Organizer: PROVOST, CARLA (USBP)
Required Attendees: HASTINGS, BRIAN S; LUCK, SCOTT A (b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)

Subject: Caravan Update
Location: *New Location*Commissioner's Small Conference Room

Start: Mon 10/29/2018 11:30 AM
End: Mon 10/29/2018 12:15 PM

Recurrence: (none)

Meeting Status: Accepted

Organizer: CBP COMMISSIONER SCHEDULER
Required Attendees: Owen, Todd C (AC OFO); HOWE, RANDY J; PROVOST, CARLA (USBP); LUCK, SCOTT A (USBP); HASTINGS, BRIAN S; (b) (6), (b) (7)(C) OCKER, RONALD J; JACKSTA, LINDA L (DEAC OS); CBP DEPUTY COMMISSIONER SCHEDULER; SAUNDERS, IAN C.; FLANAGAN, PATRICK S; WAGNER, JOHN P; (b) (6), (b) (7)(C)
Optional Attendees: PETERLIN, MEGHANN K; MEEHAN, ANDREW C; (b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)

Subject: Career Path
Location: Teaming Area

Start: Thu 10/11/2018 1:00 PM
End: Thu 10/11/2018 1:30 PM

Recurrence: (none)

Meeting Status: Accepted

Organizer: HOOVER, CRINLEY S
Required Attendees: (b) (6), (b) (7)(C) HOOVER, CRINLEY S; PROVOST, CARLA (USBP); (b) (6), (b) (7)(C) ; LUCK, SCOTT A (USBP); (b) (6), (b) (7)(C)

POC: (b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)

Subject: Career Path Brief - Chief Provost/Luck
Location: Conference Room (b) (7)(E)

Start: Tue 10/9/2018 1:00 PM
End: Tue 10/9/2018 1:30 PM

Recurrence: (none)

Meeting Status: Accepted

Organizer: HOOVER, CRINLEY S
Required Attendees: PROVOST, CARLA (USBP); LUCK, SCOTT A (USBP); (b) (6), (b) (7)(C)

Optional Attendees: (b) (6), (b) (7)(C)

Career Path – Decisional

POC: (b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)

Subject: Career Pathing w/(b) (6), (b) (7)(C) (Accenture)
Location: RRB 6.5E

Start: Tue 10/2/2018 2:00 PM
End: Tue 10/2/2018 2:45 PM

Recurrence: (none)

Meeting Status: Meeting organizer

Organizer: PROVOST, CARLA (USBP)
Required Attendees: (b) (6), (b) (7)(C) HOOVER, CRINLEY S

(b) (6), (b) (7)(C)

Subject: CBA Negotiations Discussion
Location: Chief's Teaming Area

Start: Thu 11/8/2018 10:30 AM
End: Thu 11/8/2018 11:00 AM

Recurrence: (none)

Meeting Status: Meeting organizer

Organizer: PROVOST, CARLA (USBP)
Required Attendees: PROVOST, CARLA (USBP); HUFFMAN, BENJAMINE C; L (b) (6), (b) (7)(C)

Optional Attendees: (b) (6), (b) (7)(C) MARTIN, JERRY B

OCC intends to file exceptions to the CBA Ground Rules arbitration decision with the FLRA prior to November 15, 2018.

(b) (6), (b) (7)(C)

Subject: CBP Strategy: Interview with Chief Provost
Location: 6.5E// US (b) (7)(E) || VoIP: (b) (7)(E)

Start: Thu 10/11/2018 1:30 PM
End: Thu 10/11/2018 1:45 PM

Recurrence: (none)

Meeting Status: Accepted

Organizer: CBP_Strategy

(b) (6), (b) (7)(C)

Subject: Check-in with Chief Luck
Location: (b) (7)(E) Pin (b) (7)(E)

Start: Fri 10/26/2018 4:15 PM
End: Fri 10/26/2018 4:30 PM

Recurrence: (none)

Meeting Status: Accepted

Organizer: Grady.Scheduler

Importance: High

DO NOT FORWARD OR COPY THIS INVITATION
If there are any questions, please contact (b) (6) or (b) (6)

Attendees:
Acting Deputy Secretary Grady
Kate Nichols
Chief Luck

Briefing Materials: No

(b) (6), (b) (7)(C)

Subject: Coffee with a Cop
Location: Conference Room [redacted]

Start: Wed 10/3/2018 2:00 PM
End: Wed 10/3/2018 3:00 PM

Recurrence: (none)

Meeting Status: Meeting organizer

Organizer: PROVOST, CARLA (USBP)
Required Attendees: PROVOST, CARLA (USBP)
Optional Attendees: (b) (6), (b) (7)(C)
Resources: USBP CONFERENCE ROOM [redacted]

Re: Coffee with a Cop

RE: Coffee with a Cop

(b) (6), (b) (7)(C)

From: (b) (6), (b) (7)(C)
Sent: Thursday, September 13, 2018 4:15 PM
To: (b) (6), (b) (7)(C)
Cc: QUINN, TIMOTHY; (b) (6), (b) (7)(C)
Subject: Re: Coffee with a Cop

We will

On Sep 13, 2018, at 4:12 PM (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) wrote:

> Thanks (b) (6), (b) (7)(C) who supplies the coffee?
>
> (b) (6), (b) (7)(C)
> Assistant Chief
> Adjutant to Chief Carla Provost
> U.S. Border Patrol/Headquarters
> (b) (6), (b) (7)(C) Office
> iPhone
>
> **From:** HY (b) (6), (b) (7)(C)
> **Sent:** Thursday, September 13, 2018 3:56 PM
> **To:** (b) (6), (b) (7)(C)
> **Cc:** QUINN, TIMOTHY (b) (6), (b) (7)(C)
> (b) (6), (b) (7)(C)
> **Subject:** RE: Coffee with a Cop
>
> Hi, (b) (6), (b) (7)(
>
> Great news---we have about 20 students from American University (CJ students) and interns from a police organization committed to coffee with a cop on Oct 3 at 1:30. Liz is securing the Border Patrol conference room. I know BP's strat comms provides the Chief with her prep materials but we would be happy to assist. Thanks for all your help!!!
>
> Regards,
> -- (b) (6), (b) (
>
> **From:** (b) (6), (b) (7)(C)
> **Sent:** Monday, September 10, 2018 2:35 PM
> **To:** (b) (6), (b) (7)(C)
> **Cc:** QUINN, TIMOTHY (b) (6), (b) (7)(C)
> (b) (6), (b) (7)(C)
> **Subject:** RE: Coffee with a Cop
>
> H (b) (6), (b) (7)(C)
> Chief Provost would love to participate in something similar. Please let us know the details as soon as you can. I will block off 45 minutes on her schedule for October 3rd. It would have to be in the afternoon. Let's shoot for 1:30 pm. Thank you.

(b) (6), (b) (7)(C)
Assistant Chief
Adjutant to Chief Carla Provost
U.S. Border Patrol/Headquarters

(b) (6), (b) (7)(C) Office
iPhone

From: (b) (6), (b) (7)(C)
Sent: Thursday, September 06, 2018 11:43 AM
To: (b) (6), (b) (7)(C)
Cc: QUINN, TIMOTHY (b) (6), (b) (7)(C)
(b) (6), (b) (7)(C)
Subject: Coffee with a Cop

Hi—

October 3 is this year's coffee with a cop day. Last year we had Chief Vitiello meet with CJ students here at CBP to ask questions and in general---have coffee with a cop. I'm checking in to see if Chief Provost or her command staff would be interested in doing something similar. We would be happy to organize an event if there was interest from BP. Let me know if you have any questions.

Thanks,
- (b) (6), (b) (7

(b) (6), (b) (7)(C)

From: (b) (6), (b) (7)(C)
Sent: Friday, September 14, 2018 9:11 AM
To: (b) (6), (b) (7)(C)
Cc: QUINN, TIMOTHY; (b) (6), (b) (7)(C)
Subject: RE: Coffee with a Cop

This is great – thank you. Last year the event was 2 hours---not suggesting that—but is the Chief available to extend to 1 hour from 45 minutes?

Thanks,
--
(b) (6), (b) (7)

From: (b) (6), (b) (7)(C)
Sent: Thursday, September 13, 2018 4:50 PM
To: (b) (6), (b) (7)(C)
Cc: QUINN, TIMOTHY (b) (6), (b) (7)(C)
Subject: RE: Coffee with a Cop

Thank you (b) (6), (b) (7)(C) I've reserved Border Patrol Conference Room (b) (7) for October 3rd from 1:30pm to 2:15pm. Border Patrol Strat Comms will be getting with your shop to coordinate TPs.

(b) (6), (b) (7)(C)
Assistant Chief
Adjutant to Chief Carla Provost
U.S. Border Patrol/Headquarters
(b) (6), (b) (7)(C) Office
iPhone

From: (b) (6), (b) (7)(C)
Sent: Thursday, September 13, 2018 4:15 PM
To: (b) (6), (b) (7)(C)
Cc: QUINN, TIMOTHY (b) (6), (b) (7)(C)
Subject: Re: Coffee with a Cop

We will

On Sep 13, 2018, at 4:12 PM, (b) (6), (b) (7)(C) wrote:

> Thanks (b) (6), (b) (7)(C) who supplies the coffee?
>
> (b) (6), (b) (7)(C)
> Assistant Chief
> Adjutant to Chief Carla Provost
> U.S. Border Patrol/Headquarters
> (b) (6), (b) (7)(C) Office
> iPhone

From: (b) (6), (b) (7)(C)
Sent: Thursday, September 13, 2018 3:56 PM
To: (b) (6), (b) (7)(C)
Cc: QUINN, TIMOTHY (b) (6), (b) (7)(C)
(b) (6), (b) (7)(C)
Subject: RE: Coffee with a Cop

Hi, (b) (6), (b) (7)(

Great news---we have about 20 students from American University (CJ students) and interns from a police organization committed to coffee with a cop on Oct 3 at 1:30. Liz is securing the Border Patrol conference room. I know BP's strat comms provides the Chief with her prep materials but we would be happy to assist. Thanks for all your help!!!

Regards,
- (b) (6), (b) (7)

From: (b) (6), (b) (7)(C)
Sent: Monday, September 10, 2018 2:35 PM
To: (b) (6), (b) (7)(C)
Cc: QUINN, TIMOTHY (b) (6), (b) (7)(C)
(b) (6), (b) (7)(C)
Subject: RE: Coffee with a Cop

H (b) (6), (b) (7)(C)
Chief Provost would love to participate in something similar. Please let us know the details as soon as you can. I will block off 45 minutes on her schedule for October 3rd. It would have to be in the afternoon. Let's shoot for 1:30 pm. Thank you.

(b) (6), (b) (7)(C)
Assistant Chief
Adjutant to Chief Carla Provost
U.S. Border Patrol/Headquarters

(b) (6), (b) (7)(C) Office
iPhone

From: (b) (6), (b) (7)(C)
Sent: Thursday, September 06, 2018 11:43 AM
To: (b) (6), (b) (7)(C)
Cc: QUINN, TIMOTHY (b) (6), (b) (7)(C)
(b) (6), (b) (7)(C)
Subject: Coffee with a Cop

Hi—

October 3 is this year's coffee with a cop day. Last year we had Chief Vitiello meet with CJ students here at CBP to ask questions and in general---have coffee with a cop. I'm checking in to see if Chief Provost or her command staff would be interested in doing something similar. We would be happy to organize an event if there was interest from BP. Let me know if you have any questions.

Thanks,

(b) (6), (b) (7

(b) (6), (b) (7)(C)

Subject: Commissioner's Annual Awards Ceremony
Location: U.S. Department of Commerce Auditorium

Start: Wed 10/10/2018 11:00 AM
End: Wed 10/10/2018 12:00 PM
Show Time As: Tentative

Recurrence: (none)

Meeting Status: Tentatively accepted

Organizer: CBP COMMISSIONER SCHEDULER
Required Attendees: (b) (6), (b) (7)(C) SANDERS, JOHN P; SMITH, BRENDA BROCKMAN; Owen, Todd C (AC OFO); YOUNG, EDWARD E; JACKSTA, LINDA L (DEAC OS); KOLBE, KATHRYN; PROVOST, CARLA (USBP); LUCK, SCOTT A (USBP); WAGNER, JOHN P; WHITTENBURG, CYNTHIA F; BOYER, STEPHEN A; KOUMANS, MARK; CBP DEPUTY COMMISSIONER SCHEDULER; (b) (6), (b) (7)(C) FLANAGAN, PATRICK S; (b) (6), (b) (7)(C) FALK, SCOTT K (OCC); QUINN, TIMOTHY; BORKOWSKI, MARK S; CALVO, KARL H.; LANDFRIED, PHIL A; HALL, CHRISTOPHER J; (b) (6), (b) (7)(C) LOWRY, KIM M; (b) (6), (b) (7)(C) LEY, JENNIFER E.; (b) (6), (b) (7)(C) SAUNDERS, IAN C.; KLEIN, MATTHEW (OPR); LADOWICZ, JOHN P; (b) (6), (b) (7)(C) PETERLIN, MEGHANN K; ABEND, JASON; SCHIERMEYER, CORRY N; GRABLE, SAMUEL D; HARRIS, MELVIN; SALAZAR, REBEKAH A.; BOYD, VALERIE S; MEEHAN, ANDREW C; MURDOCK, JUDSON W; (b) (6), (b) (7)(C) HAYES, BRADLEY F; (b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)

Optional Attendees: MICHELINI, DENNIS J; MILLER, JONATHAN P

Colleagues,

On Wednesday, October 10, 2018 at 11 a.m., Acting Deputy Commissioner Perez and I will be presenting five awards during a small ceremony at the U.S. Department of Commerce Auditorium. There will be a reception following the ceremony in the Commissioner's Large Conference Room.

Please RSVP by Friday, October 5, 2018 to (b) (6), (b) (7)(C) **at** (b) (6), (b) (7)(C) **or** (b) (6), (b) (7)(C)

Your staff may forward any comments or concerns to (b) (6), (b) (7)(C) at (b) (6), (b) (7)(C) or via e-mail at (b) (6), (b) (7)(C) and (b) (6), (b) (7)(C) at (b) (6), (b) (7)(C) or via e-mail at (b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)
(b) (6), (b) (7)(C)
(b) (6), (b) (7)(C)
(b) (6), (b) (7)(C)
(b) (6), (b) (7)(C)
COMMISSIONER'S ANNUAL
Awards Ceremony
HONORING AWARD RECIPIENTS FOR
Leadership, Invictus, Integrity, Heroism, and Valor
October 10, 2018, 11:00 a.m.
U.S. Department of Commerce Auditorium
1401 Constitution Avenue, NW
Washington, DC 20230
Reception following the ceremony in the Commissioner's Large Conference Room 4414A
Class 1/Class A Dress Uniform
U.S. Customs and Border Protection

(b) (6), (b) (7)(C)

Subject: Commissioner's Call Re: Caravan
Location: Telecon: (b) (7)(E) / Pin: (b) (7)(E)

Start: Mon 10/29/2018 6:15 PM
End: Mon 10/29/2018 7:15 PM

Recurrence: (none)

Meeting Status: Accepted

Organizer: CBP COMMISSIONER SCHEDULER
Required Attendees: HIGGERSON, DAVID P; FLORES, PETE ROMERO; MANCHA, HECTOR; (b) (6), (b) (7)(C) HASTINGS, BRIAN S; LUCK, SCOTT A (USBP); Owen, Todd C (AC OFO); HOWE, RANDY J; (b) (6), (b) (7)(C) BOYD, VALERIE S; PETERLIN, MEGHANN K; FLANAGAN, PATRICK S; (b) (6), (b) (7)(C) CHAVEZ, GLORIA I; SCOTT, RODNEY S; KARISCH, RODOLFO; PORVAZNIK, ANTHONY J; HULL, AARON A; PADILLA, MANUEL JR; ORTIZ, RAUL L; CHAVEZ, FELIX; BOATRIGHT, ROBERT L; SAUNDERS, IAN C.; MONCAYO, ERIK E; (b) (6), (b) (7)(C) HUDAK, MATTHEW J; VILLAREAL, ROY D; (b) (6), (b) (7)(C) SELF, JEFFREY D; CLEM, CHRIS T; (b) (6), (b) (7)(C) COUREY, MARC BENNETT (OCC); JACKSTA, LINDA L (DEAC OS); OCKER, RONALD J; PROVOST, CARLA (USBP); WAGNER, JOHN P; GRABLE, SAMUEL
Optional Attendees: (b) (6), (b) (7)(C)
CHIEFS CONF RM CALENDAR

Please do not forward this invite, for surrogate request, please contact Joshua Nutzhorn –
(b) (6), (b) (7)(C)

Telecon:
Phone: (b) (7)(E)
Pin: (b) (7)(E)

AGENDA

One CBP - Migration

October 29, 2018

• Opening Comments and Operational Update	MCAT
• Intel Update	OI
• RGV and San Diego Sector Updates	USBP
• San Diego and Laredo Field Office Updates	OFO
• Closing Comments and Next Steps	MCAT

CALL SHEET

Location	Name	In Attendance or Alternate
MCAT Commander	(b) (6), (b) (7)(C)	
USBP Chief	Carla Provost	
USBP Deputy Chief	Scott Luck	
USBP HQ LEOD	Brian Hastings	
USBP RGV Sector Chief	Manny Padilla	
USBP Yuma Sector Chief	Tony Porvaznik	
USBP San Diego Sector Chief	Rodney Scott	
USBP Laredo Sector Chief	Felix Chavez	
USBP El Centro Sector Chief	Gloria Chavez	
USBP Tucson Sector Chief	Rudy Karisch	
USBP El Paso Sector Chief	Aaron Hull	
USBP Big Bend Sector	Robert Boatwright	
USBP Del Rio Sector Chief	Matt Hudak	
OFO EAC	Todd Owens	
OFO HQ XD Ops	Randy Howe	
OFO Laredo DFO	David Higgerson	
OFO San Diego DFO	Pete Flores	
OFO El Paso DFO	Hector Mancha	
OPA AC	Andrew Meehan	
OCA AC	Pete Ladowicz	
IPL XD	Tim Quinn	
Policy XD	Meghann Peterlinn	
DCoS OC	Valerie Boyd	

(b) (6), (b) (7)(C)

Subject: Correspondence

Start: Tue 10/30/2018 11:00 AM
End: Tue 10/30/2018 12:00 PM

Recurrence: (none)

Organizer: PROVOST, CARLA (USBP)

(b) (6), (b) (7)(C)

Subject: Correspondence

Start: Fri 10/5/2018 8:00 AM
End: Fri 10/5/2018 8:30 AM

Recurrence: (none)

Organizer: PROVOST, CARLA (USBP)

Categories: Blue Category

(b) (6), (b) (7)(C)

Subject: Correspondence

Start: Tue 10/2/2018 7:30 AM
End: Tue 10/2/2018 8:00 AM

Recurrence: (none)

Organizer: PROVOST, CARLA (USBP)

Categories: Blue Category

(b) (6), (b) (7)(C)

Subject: Depart DCA
Location: (b) (6), (b) (7)(C)

Start: Sat 10/13/2018 5:07 PM
End: Sat 10/13/2018 5:07 PM

Recurrence: (none)

Organizer: PROVOST, CARLA (USBP)

Categories: Travel

(b) (6), (b) (7)(C)

Subject: Depart Newark
Location: (b) (6), (b) (7)(C)

Start: Wed 10/24/2018 6:00 AM
End: Wed 10/24/2018 6:00 AM

Recurrence: (none)

Organizer: PROVOST, CARLA (USBP)

Categories: Travel

(b) (6), (b) (7)(C)

Subject: Depart Newark, NJ
Location: (b) (6), (b) (7)(C)

Start: Sat 10/13/2018 10:50 PM
End: Sat 10/13/2018 10:50 PM

Recurrence: (none)

Organizer: PROVOST, CARLA (USBP)

Categories: Travel

(b) (6), (b) (7)(C)

Subject: Depart Tel Aviv
Location: (b) (6), (b) (7)(C)

Start: Tue 10/23/2018 11:10 PM
End: Tue 10/23/2018 11:10 PM

Recurrence: (none)

Organizer: PROVOST, CARLA (USBP)

Categories: Travel

(b) (6), (b) (7)(C)

Subject: discuss DV delegation order w/SPA
Location: Chief's Teaming Area

Start: Mon 10/1/2018 12:00 PM
End: Mon 10/1/2018 12:30 PM

Recurrence: (none)

Meeting Status: Meeting organizer

Organizer: PROVOST, CARLA (USBP)
Required Attendees: (b) (6), (b) (7)(C) HUFFMAN, BENJAMINE C

Discuss options related to the 2016 Domestic Violence Delegation Order.

There are changes contemplated to the Disciplinary Review Board that may coincide with any decision to rescind this order.

(b) (5)

(b) (5)

(b) (5)

(b) (5)

(b) (5)

(b) (5)

(b) (5)

(b) (5)

(b) (5)

(b) (5), (b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)

Subject: DoD/CBP High Level SVTC
Location: 7.3C Conference Room

Start: Mon 10/29/2018 12:30 PM
End: Mon 10/29/2018 1:00 PM

Recurrence: (none)

Meeting Status: Accepted

Organizer: CBP DEPUTY COMMISSIONER SCHEDULER
Required Attendees: HOWE, RANDY J; HASTINGS, BRIAN S; (b) (6), (b) (7)(C) CBP COMMISSIONER SCHEDULER; FLANAGAN, PATRICK S; OCKER, RONALD J; JACKSTA, LINDA L (DEAC OS); (b) (6), (b) (7)(C) PROVOST, CARLA (USBP)
Optional Attendees: (b) (6), (b) (7)(C)

Please do not forward-If you need assistance with this invite please contact (b) (6), (b) (7)(C) or (b) (6), (b) (7)(C)

****

Chief of Staff Flanagan,

Good evening, sir. DoD has requested high level CBP representation on a Secure VTC tomorrow at 12:30PM. This meeting is focused on DoD support on the SW Border and will be at the 4-star level (Chaired by CDRUSNORTHCOM). Requested CBP attendees are:

Robert Perez, Deputy Commissioner, U.S. Customs and Border Protection
Brian Hastings, Chief of Operations, U.S. Border Patrol
Randy Howe, Executive Director of Operations, Office of Field Operations

Please advise on the availability of attendees and provide bios if possible. Once confirmed, I can coordinate the SVTC dial in between CBP/DoD. Thank you very much.

Respectfully,

(b) (6), (b) (7)(C)
Assistant Chief
CBP LNO – Pentagon
O: (b) (6), (b) (7)(C)
C:

(b) (6)

(b) (6)

(b) (7)(E)

(b) (7)(E)

(b) (6), (b) (7)(C)

Subject: (b) (7)(E) pre-brief
Location: Chiefs Teaming Area

Start: Mon 10/1/2018 1:00 PM
End: Mon 10/1/2018 1:30 PM

Recurrence: (none)

Meeting Status: Meeting organizer

Organizer: PROVOST, CARLA (USBP)
Required Attendees: PROVOST, CARLA (USBP); SINGLETON, RUYNARD R
Optional Attendees: (b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)

Subject: ERB prep time

Start: Fri 10/5/2018 2:00 PM
End: Fri 10/5/2018 3:00 PM

Recurrence: (none)

Organizer: PROVOST, CARLA (USBP)

Categories: Blue Category

(b) (6), (b) (7)(C)

Subject: ERB prep time

Start: Fri 10/5/2018 1:00 PM
End: Fri 10/5/2018 1:30 PM

Recurrence: (none)

Organizer: PROVOST, CARLA (USBP)

Categories: Blue Category

(b) (6), (b) (7)(C)

Subject: Executive Review Board (ERB)
Location: Commissioner's Large Conference Room

Start: Tue 10/9/2018 11:30 AM
End: Tue 10/9/2018 12:30 PM

Recurrence: (none)

Meeting Status: Accepted

Organizer: CBP DEPUTY COMMISSIONER SCHEDULER
Required Attendees: LUCK, SCOTT A (USBP); KLEIN, MATTHEW (OPR); PROVOST, CARLA (USBP); SANDERS, JOHN P; DCC10A-RMB-COMMISSIONER-CN-RM; (b) (6), (b) (7)(C)
Optional Attendees: (b) (6), (b) (7)(C)

Categories: Blue Category

PLEASE DO NOT FORWARD **If you require assistance with this invitation please contact (b) (6), (b) (7)(C) or (b) (6), (b) (7)(C)

This ERB meeting is to evaluate applicants for the SES positions of **Chief Patrol Agent (Nationwide) and Deputy Chief Patrol agent (Nationwide).**

Participants:
1. (A) C2 Robert E. Perez
2. COO John Sanders
3. B1 Carla Provost
4. B2 Scott Luck
5. AC Mathew Klein

(b) (6), (b) (7)(C)

Subject: (b) (7)(E) Deadline

Start: Fri 12/14/2018 12:00 AM
End: Sat 12/15/2018 12:00 AM
Show Time As: Free

Recurrence: (none)

Organizer: PROVOST, CARLA (USBP)

The FY19 (b) (7)(E) Semi-Annual Inventory will begin Monday, 10/22/18. The completion date is Friday, 12/14/18 at 5pm (Eastern Time). To ensure timely completion, CBP Operational Components are encouraged to establish earlier deadlines to meet their operational needs. (b) (7)(E) assets that are part of the Semi-Annual Inventory are detailed in the following OFAM link (b) (7)(E) Guidelines for this task are located at (b) (7)(E) and (b) (7)(E) (b) (7)(E) login: (b) (7)(E) Please direct questions to the following offices: Firearms/Body Armor/ECWs: (b) (7)(E) Badges/Credentials: (b) (7)(E) Passports: (b) (7)(E) Stamps/Ink: (b) (7)(E) Assets not completed by 12/14/18 at 5pm (Eastern Time) will be considered lost and placed into Board of Survey status. Please click on (b) (7)(E) to log into (b) (7)(E) A notification message regarding the above can be found on your (b) (7)(E) home page.

(b) (6), (b) (7)(C)

Subject:	Flight Hours Discussion
Location:	Commissioner's Small Conference Room
Start:	Mon 10/1/2018 4:00 PM
End:	Mon 10/1/2018 4:30 PM
Recurrence:	(none)
Meeting Status:	Accepted
Organizer:	CBP COMMISSIONER SCHEDULER
Required Attendees:	YOUNG, EDWARD E; PROVOST, CARLA (USBP); CBP DEPUTY COMMISSIONER SCHEDULER; FLANAGAN, PATRICK S

(b) (6), (b) (7)(C)

Subject: Flight Hours Pre-brief
Location: Chief's Teaming Area

Start: Mon 10/1/2018 3:00 PM
End: Mon 10/1/2018 3:30 PM

Recurrence: (none)

Meeting Status: Meeting organizer

Organizer: PROVOST, CARLA (USBP)
Required Attendees: (b) (6), (b) (7)(C) HUDSON, RICHARD M; HUFFMAN, BENJAMINE C; (b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)

Subject: FY18 USBP (b) (7)(E) Results (B1 Brief)
Location: Conference Room

Start: Wed 8/22/2018 2:00 PM
End: Wed 8/22/2018 3:00 PM

Recurrence: (none)

Meeting Status: Meeting organizer

Organizer: PROVOST, CARLA (USBP)
Required Attendees: PROVOST, CARLA (USBP); LUCK, SCOTT A (USBP); HUFFMAN, BENJAMINE C; (b) (6), (b) (7)(C) HOOVER, CRINLEY S; (b) (6), (b) (7)(C) SINGLETON, RUYNARD R; HUDSON, RICHARD M; (b) (6), (b) (7)(C)

Optional Attendees: (b) (6), (b) (7)(C)
Resources: USBP CONFERENCE ROOM

(b) (7)(E)

(b) (6), (b) (7)(C)

Subject: Hearing Prep: Immigration, Border Security & Management
Location: NAC 5107 Conference Room

Start: Thu 10/4/2018 1:00 PM
End: Thu 10/4/2018 2:15 PM

Recurrence: (none)

Meeting Status: Accepted

Organizer: Nielsen.Scheduler
Required Attendees: (b) (6), (b) (7)(C) ESEC-BBIC; (b) (6), (b) (7)(C) MCALEENAN, KEVIN K; (b) (6), (b) (7)(C) Vitiello, Ronald D; ICE.Scheduler (b) (6) (b) (6), (b) (7)(C) Cissna Scheduler (b) (6), (b) (7)(C) Grady.Scheduler; (b) (6), (b) (7)(C) PROVOST, CARLA (USBP); (b) (6), (b) (7)(C)
Optional Attendees: (b) (6), (b) (7)(C)

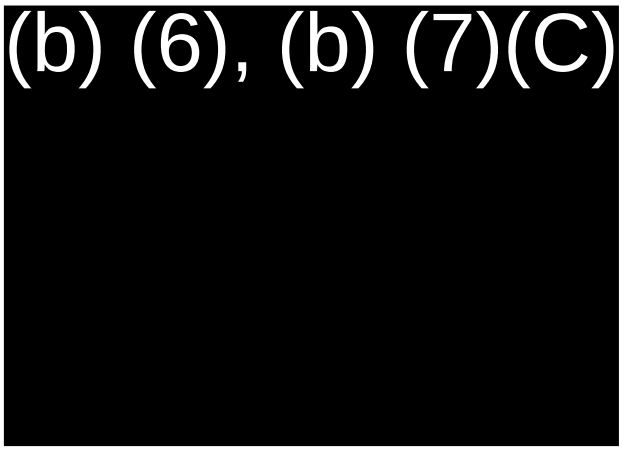
DO NOT FORWARD OR COPY THIS INVITATION
If there are any questions, please contact (b) (6)

Requester:
S1

Front Office Lead:
(b) (6), (b) (7)(C)

DHS SME:
(b) (6), (b) (7)(C)

Attendees:
Secretary
Acting Deputy Secretary
(b) (6), (b) (7)(C)
Kevin McAleenan, CBP
Carla Provost, CBP
Ron Vitiello, ICE
(b) (6), (b) (7)(C) MGMT



Objective:
Prep Session II: Immigration, Border Security & Management in advance of S1's HSGAC hearing

Briefing Materials:
Hearing book

(b) (5), (b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)

Subject: HRM 5,000 USBP Recruiting Campaign Decision Brief
Location: USBP CONFERENCE ROOM (b) (7)

Start: Thu 10/4/2018 3:00 PM
End: Thu 10/4/2018 4:00 PM

Recurrence: (none)

Meeting Status: Meeting organizer

Organizer: PROVOST, CARLA (USBP)
Required Attendees: PROVOST, CARLA (USBP); HOOVER, CRINLEY S; LUCK, SCOTT A (USBP); (b) (6), (b) (7)(C)

(b) (6) (b) (6), (b) (7)(C)

Optional Attendees: (b) (6), (b) (7)(C)

GARCIA-TOMCHICK, HONOR; SIMMONS-COLLINS, TEMEA
Resources: USBP CONFERENCE ROOM (b) (7)(E)

HRM 5,000 USBP Recruiting Campaign Decision Brief
(b) (6), (b) (7)(C) CBP/ Enterprise Services/ HRM 5000/ Brand & Recruitment Collaboration is CBP lead on this project brief. (b) (6), (b) (7)(C) is the Accenture lead.

(b) (6), (b) (7)(C)

Subject: (b) (7)(E) brief (b) (6), (b) (7)(C)
Location: Chief's Teaming Area

Start: Tue 10/2/2018 1:00 PM
End: Tue 10/2/2018 2:00 PM

Recurrence: (none)

Meeting Status: Meeting organizer

Organizer: PROVOST, CARLA (USBP)
Required Attendees: PROVOST, CARLA (USBP); LUCK, SCOTT A (USBP); S (b) (6), (b) (7)(C) HUDSON, RICHARD M
Optional Attendees: (b) (6), (b) (7)(C)

(b) (7)(E)

(b) (6), (b) (7)(C)

From: (b) (6), (b) (7)(C)
Sent: Thursday, September 6, 2018 12:37 PM
To: (b) (6), (b) (7)(C)
Subject: RE: OSC Scheduling: (b) (7)(E)

10-4. Let's do the 2nd at either 10 or 1.

(b) (6), (b) (7)(C)
Operations Officer, Adjutant to Deputy Chief Scott A. Luck
Department of Homeland Security | U.S. Border Patrol
☎(b) (6), (b) (7)(C) (Office) ☎(b) (6), (b) (7)(C) (Cell)
✉: (b) (6), (b) (7)(C)

From: (b) (6), (b) (7)(C)
Sent: Thursday, September 6, 2018 12:30 PM
To: (b) (6), (b) (7)(C)
Subject: RE: OSC Scheduling: (b) (7)(E)

How about the week of October 1st? Looks pretty open for both B1/B2.

(b) (6), (b) (7)(C)
Assistant Chief
Adjutant to Chief Carla Provost
U.S. Border Patrol/Headquarters

(b) (6), (b) (7)(C) Office
iPhone

From: (b) (6), (b) (7)(C)
Sent: Thursday, September 06, 2018 7:33 AM
To: (b) (6), (b) (7)(C)
Subject: FW: OSC Scheduling: (b) (7)(E)

We should probably look at this today

(b) (6), (b) (7)(C)
Operations Officer, Adjutant to Deputy Chief Scott A. Luck
Department of Homeland Security | U.S. Border Patrol
☎(b) (6), (b) (7)(C) (Office) ☎(b) (6), (b) (7)(C) (Cell)
✉: (b) (6), (b) (7)(C)

From: (b) (6), (b) (7)(C)
Sent: Wednesday, August 29, 2018 2:34 PM
To: (b) (6), (b) (7)(C)
Subject: Fwd: OSC Scheduling: (b) (7)(E)

We need to meet before October 18.

(b) (6), (b) (7)(C)

sent from my mobile device

Begin forwarded message:

From: (b) (6), (b) (7)(C)
Date: August 29, 2018 at 9:54:19 AM EDT
To: (b) (6), (b) (7)(C)
Cc: (b) (6), (b) (7)(C)

Subject: OSC Scheduling: (b) (7)(E)

Good morning (b) (6), (b) (7)(C)

During our weekly meeting with OS, DEAC Jacksta requested that we work with you to schedule an informational briefing on the (b) (7)(E) pilot results at a future Operations Support Council (OSC) meeting. (She also mentioned (b) (7)(E) (?), which could also be mentioned, if related). To help us with the planning, please let us know the following:

- Is LESC available to brief this topic on October 18? November 1 is also available.
- How much time will you need to brief? OSC briefing windows are typically 30 minutes in duration.
- Do you have a specific POC for this briefing who we should work with?

Thanks! Best, (b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)
Enterprise Governance Division
U.S. Customs & Border Protection
1331 Pennsylvania Avenue, NW, Washington DC 20004
Cell: (b) (6), (b) (7)(C) | *Direct:* (b) (6), (b) (7)(C)
(b) (6), (b) (7)(C)
https://www.cbp.gov/
ALC SharePoint site

(b) (6), (b) (7)(C)

Subject: Integrity Advisory Committee
Location: Conference Room (b) (7)(E)

Start: Thu 10/11/2018 10:00 AM
End: Thu 10/11/2018 11:00 AM

Recurrence: (none)

Meeting Status: Meeting organizer

Organizer: PROVOST, CARLA (USBP)
Required Attendees: PROVOST, CARLA (USBP); LUCK, SCOTT A (USBP); (b) (6), (b) (7)(C)

Optional Attendees: USBP CONFERENCE ROOM (b) (7)(E)
Resources: USBP CONFERENCE ROOM

(b) (5)

(b) (5)

(b) (5)

(b) (5), (b) (6), (b) (7)(C)

(b) (5)

(b) (6), (b) (7)(C)

Subject: JINSA (travel inclusive)
Location: Israel

Start: Sat 10/13/2018 12:00 AM
End: Fri 10/26/2018 12:00 AM
Show Time As: Out of Office

Recurrence: (none)

Organizer: PROVOST, CARLA (USBP)

Categories: Travel

(b) (5)

(b) (6), (b) (7)(C)

From: (b) (6), (b) (7)(C)
Sent: Wednesday, July 25, 2018 3:43 PM
To: (b) (6), (b) (7)(C)
Subject: FW: Invitation to Chief Carla Provost - JINSA Homeland Security Program
Attachments: LEEP 2015 - final plan.pdf

Good afternoon,

Attached is the formal invitation to B1 to participate in the upcoming JINSA trip to Israel in October.

Would it be ok if I connect (b) (6) with you to work the specifics for B1's role in this engagement?

Many thanks,

(b) (6), (b) (7)(C)

From: (b) (6)
Sent: Wednesday, July 25, 2018 3:31 PM
To: (b) (6), (b) (7)(C)
Subject: Invitation to Chief Carla Provost - JINSA Homeland Security Program

Dear Chief Carla Provost,

On behalf of the Jewish Institute for National Security of America (JINSA) I would like to invite you on the JINSA Homeland Security Program trip to Israel from October 13 – October 23, 2018.

The Jewish Institute for National Security of America is a non-partisan, non-profit organization for a strong US defense and national security posture.

- Following the terrorist attacks 0f 9/11/2001 law enforcement officials approached JINSA and requested to utilize our relationships and contacts within Israel to foster law enforcement exchanges in the same way we had previously done for the US military. This request was based on the recognition of the unique counter-terrorism capabilities of the Israel National Police in combatting terrorism within the parameters of a liberal democratic form of government.
- JINSA has been leading police exchanges for the past 15 years, taking approximately 15 law enforcement/government officials on each program. We meet with senior Israeli police officers, intelligence officials and private security professionals.
- Not only do we seek your participation, but, most importantly, your insights—during and after the visit.

(b) (6), (b) (7)(C)

Your peers have consistently advised JINSA that the program is unique and extremely valuable. Some of our alumni include NYC Police Commissioner O'Neill, former Commissioner of US Customs and Border Patrol Gil Kerlikowske and LAPD Chief Michael Moore. With daunting homeland security challenges before the US, we seek your engagement.

JINSA's Director for Counterterrorism Programs, former FBI Assistant Director (b) (6) and I are available to answer your questions and help you join this program. Please feel free to call me at (b) (6) or email me at any time.

Thank you,

(b) (6)
Program Associate
www.JINSA.org
Tel (b) (6)

JINSA

LAW ENFORCEMENT EXCHANGE PROGRAM

NOVEMBER 15-24, 2015

Sunday, November 15

17:10 Ben Gurion Arrival

18:00 Drive to Hotel Inbal, Jerusalem

20:00 Briefing by Chief Inspector (b) (6) – Organization and Mission of INP (Israel National Police) @ (b) (7)(E), (b) (6), (b) (7)(C) Jerusalem

21:00 Welcome Dinner and *Israel 101 Briefing* by Mr. (b) (6) @ (b) (7)(E), (b) (6), (b) (7)(C) Jerusalem

Overnight – Hotel Inbal, Jerusalem

Monday, November 16

08:00 Hotel Departure

09:00 Visiting at the INP's Training Center, (b) (6) - Briefing by Commander (b) (6) & Inspector (b) (6)
Lunch

15:30 Drive to the hotel

19:00 Dinner + briefing by (b) (6) & (b) (6) @ (b) (7)(E), (b) (6), (b) (7)(C) Restaurant, Jerusalem

Overnight – (b) (7)(E), (b) (6), (b) (7)(C) *Jerusalem*

Tuesday, November 17

07:00 Visiting Israel Border Police Training base ([redacted]) - briefing by [redacted]

Lunch

13:00 Tour of Old City of Jerusalem

15:30 Briefing at Malkha Shopping Mall in Jerusalem with Mr. [redacted]

"The Role of Private Security and the Interaction between Police and Private Security"

18:00 *"The Mind of the Suicide Terrorist"* with [redacted] - Former Director of INP Crisis Negotiations Team, meeting hall – Galil at Inbal Hotel, Jerusalem

19:30 Continuing tour at the Old City and Western Wall

21:00 Depart to the Old City

21:40 Visiting the Old City Tunnels

Overnight [redacted] *Jerusalem*

Wednesday, November 18

06:00 Breakfast

06:45 Depart the hotel to Allenby Bridge

08:15 Allenby Bridge / King Hussein Crossing / Israel – Jordan

10:00 Meeting with His Royal Highness Prince [redacted] & the Chief of the General Staff - [redacted]

11:00 Briefing at The King Abdullah II Special Operations Training Center (KASOTC)

12:30 Attending the exercise of special unit 71 & special unit 14

13:00 Meeting with His Royal Highness Prince Rashed Ben Al-Hassan (Unit 14)

15:00 Meeting with heads of divisions at The Jordanian General Intelligence Department

16:30 Drive to Jerusalem

Free evening

Overnight – [redacted] *Jerusalem*

Thursday, November 19

08:00 Check Out (b) (7)(E), (b) (6), (b) (7)(C)

08:30 "*The Challenges of Policing in Jerusalem*" briefing by Chief Superintendent (b) (6) – Commander of the Holy Places, Jerusalem District

10:00 Tour in 'Yad Vashem' Holocaust Museum, Jerusalem

12:30 Visiting Temple Mount

13:45 Overlook in Gilo (neighborhood in Jerusalem) – briefing by Superintendent (b) (6)

14:00 Lunch - boxed lunch on the way

14:30 Rahel Border Crossing visit adjacent to Bethlehem (Israel Border Police) – briefing by Superintendent (b) (6)

15:45 Drive to Tel Aviv

19:00 Dinner at (b) (7)(E), (b) (6), (b) (7)(C) and, Jaffa with (b) (6)

Overnight – (b) (7)(E), (b) (6), (b) (7)(C) *Tel Aviv*

Friday, November 20

07:30 Depart (b) (7)(E), (b) (6), (b) (7)(C) to Glilot Memorial

08:00 Visiting the Israeli Intelligence Heritage and Commemoration Center

09:00 Briefing by (b) (6) – Director General of the Ministry of Intelligence and former Deputy Head of the 'MOSSAD'

10:15 Visiting the Yitzhak Rabin Center + Operation Entebbe exhibition

10:45 Meet the Israeli technologies:

- (b) (7)(E)
-

11:30 Briefing by ISA representative

13:30 Lunch in Tel Aviv Port @ (b) (7)(E), (b) (6), (b) (7)(C)

19:00 Shabbat Dinner at the main dining room, (b) (7)(E), (b) (6), (b) (7)(C)

Overnight – (b) (7)(E), (b) (6), (b) (7)(C) *Tel Aviv*

Saturday, November 21

Full day tour of Nazareth and Christian sights around Sea of Galilee

08:00 Depart the hotel

19:00 Dinner at the hotel

20:00 Lecture by (b) (6) – Israeli Channel 10's Police news reporter @ Hermon hall

Overnight – (b) (7)(E), (b) (6), (b) (7)(C) *Tiberias*

Sunday, November 22

08:00 *"A Coordinated Response to a Terrorist Incident"* with (b) (6) – Commander of Northern District, INP (at the hotel)

10:00 Demonstration by *'Yagal'* Anti-Smuggling Unit, (b) (6)

12:30 Lunch

14:00 Tour at 'Hadarim' prison and a briefing by officer / the commander of the prison with emphasis on the incarceration of security prisoners + meeting with (b) (6)

20:00 Dinner at (b) (7)(E), (b) (6), (b) (7)(C) & briefing by (b) (6) - *"The World through the Eyes of the Fundamentalist Jihadist"* @ Gallery room

Overnight – (b) (7)(E), (b) (6), (b) (7)(C) *Tel Aviv*

Monday, November 23

07:00 Hotel Departure

09:00 Briefing by (b) (6) at Black Arrow Vista point

11:15 Visiting Ben Gurion Airport and briefing by (b) (6) – Director General of Ben Gurion Airport + tour at the airport with (b) (6)

14:30 Visiting the HQ of the Home front Command, IDF in Ramla briefing by (b) (6)

16:30 Tour of terrorist attacks Sites in Tel Aviv - Dolphinarium -> Mike's Place-> US Embassy along with a Tel Aviv Bomb Disposal officer – Superintendent (b) (6)

20:45 Drive to the airport

Have a safe flight!

(b) (5), (b) (6), (b) (7)(C), (b) (7)(E)

(b) (5), (b) (6), (b) (7)(C), (b) (7)(E)

(b) (5), (b) (6), (b) (7)(C), (b) (7)(E)

(b) (5), (b) (6), (b) (7)(C), (b) (7)(E)

(b) (5), (b) (6), (b) (7)(C), (b) (7)(E)

(b) (5), (b) (6), (b) (7)(C), (b) (7)(E)

(b) (5), (b) (6), (b) (7)(C), (b) (7)(E)

(b) (5), (b) (6), (b) (7)(C), (b) (7)(E)

(b) (5), (b) (6), (b) (7)(C), (b) (7)(E)

(b) (5), (b) (6)

(b) (6), (b) (7)(C)

Subject: JINSA prep

Start: Fri 10/5/2018 12:00 PM
End: Fri 10/5/2018 12:30 PM

Recurrence: (none)

Meeting Status: Meeting organizer

Organizer: PROVOST, CARLA (USBP)
Required Attendees: (b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)

Subject: Leadership Call Re: Caravan
Location: Telecon: (b) (7)(E) / (b) (7)(E)

Start: Sun 10/28/2018 5:00 PM
End: Sun 10/28/2018 5:30 PM
Show Time As: Tentative

Recurrence: (none)

Meeting Status: Not yet responded

Organizer: CBP COMMISSIONER SCHEDULER
Required Attendees: PROVOST, CARLA (USBP); PEREZ, ROBERT E; FLANAGAN, PATRICK S; BOYD, VALERIE S; MCALEENAN, KEVIN K; LUCK, SCOTT A (USBP); Owen, Todd C (AC OFO); HOWE, RANDY J; (b) (6), (b) (7)(C) HASTINGS, BRIAN S; PETERLIN, MEGHANN K; SAUNDERS, IAN C.; JACKSTA, LINDA L (DEAC OS); OCKER, RONALD J

Phone: (b) (7)(E)
Pin: (b) (7)(E)

(b) (6), (b) (7)(C)

Subject: LFC Senior Leaders Brief: Hurricane Response (Region IV)
Location: Telecon: (b) (7)(E) / (b) (7)(E)

Start: Wed 10/10/2018 5:00 PM
End: Wed 10/10/2018 6:00 PM

Recurrence: (none)

Meeting Status: Accepted

Organizer: (b) (6), (b) (7)(C)
Required Attendees: DEAC OPERATIONS SUPPORT; MCALEENAN, KEVIN K; PEREZ, ROBERT E; Owen, Todd C (AC OFO); HOFFMAN, TODD A; YOUNG, EDWARD E; PROVOST, CARLA (USBP); (b) (6), (b) (7)(C) FALK, SCOTT K (OCC); KOLBE, KATHRYN; CALVO, KARL H.; LANDFRIED, PHIL A; JACKSTA, LINDA L (DEAC OS); (b) (6), (b) (7)(C) BORKOWSKI, MARK S; SAHAKIAN, DIANE V; (b) (6), (b) (7)(C) MICHELINI, DENNIS J; LADOWICZ, JOHN P; SMITH, BRENDA BROCKMAN; (b) (6), (b) (7)(BOYER, STEPHEN A; LUCK, SCOTT A (USBP); CUPP, MARY E (OCC); (b) (6), (b) (7)(C) SABATINO, DIANE J; CBP Region IV; CBP HQ Emergency Operations Center; SITROOM; (b) (6), (b) (7)(C) BOYD, VALERIE S; SANDERS, JOHN P; OVERACKER, THOMAS F; (b) (6), (b) (7)(C) HUDSON, RICHARD M; CAINE, JEFFREY; GRABLE, SAMUEL D; (b) (6), (b) (7)(C) Dykeman, Steven J; (b) (6), (b) (7)(C) HALL, CHRISTOPHER J; (b) (6), (b) (7)(C) BAKER, PAUL; PETERLIN, MEGHANN K; PRIDDY, JOHN W; (b) (6), (b) (7)(C) REMBOLD, ERIC; CBP HQ EOC; FEMA-NRCC-lescbp; BHAGOWALIA, SONNY; PORVAZNIK, ANTHONY J; (b) (6), (b) (7)(C) HARRIS, MELVIN; (b) (6), (b) (7)(C) GOLDSMITH, ANDREW S.; (b) (6), (b) (7)(C) WURST, CHRISTOPHER; DYKEMAN, STEVEN J; (b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)

(b) (6), (b) (7)(C) YANDO, DONALD F; (b) (6), (b) (7)(C) HUFFMAN, BENJAMINE C; (b) (6), (b) (7)(C) (OPR); SMITH, FREDERICK B (OCC); (b) (6), (b) (7)(C) HIGHSMITH, ANNMARIE (OCC); COUREY, MARC BENNETT (OCC); LOWRY, KIM M; (b) (6), (b) (7)(C) HOWE, RANDY J; KOUMANS, MARK; FLANAGAN, PATRICK S; (b) (6), (b) (7)(C)

Operations Support will facilitate the Commissioner's Conference Call today at 1700 (EDT). The conference call line will be available 10 minutes prior and roll call will commence 5 minutes before the start of the brief.

Telephonic Meeting:
Conference Call – LFC Senior Leaders Brief: Hurricane Response (Region IV)

Dial In Information:
(b) (7)(E)
PIN: (b) (7)(E)

POC:
CBP HQ Emergency Operations Center
(b) (6)

*****Please do not place your lines on hold, and mute your lines when not speaking****

(b) (6), (b) (7)(C)

Subject: LFC Senior Leaders Brief: Hurricane Response (Region IV)
Location: Telecon: (b) (7)(E) / (b) (7)(E)

Start: Thu 10/11/2018 5:00 PM
End: Thu 10/11/2018 6:00 PM
Show Time As: Tentative

Recurrence: (none)

Meeting Status: Not yet responded

Organizer: DEAC OPERATIONS SUPPORT
Required Attendees: MCALEENAN, KEVIN K; PEREZ, ROBERT E; Owen, Todd C (AC OFO); HOFFMAN, TODD A; YOUNG, EDWARD E; PROVOST, CARLA (USBP); (b) (6), (b) (7)(C) FALK, SCOTT K (OCC); KOLBE, KATHRYN; CALVO, KARL H.; LANDFRIED, PHIL A; JACKSTA, LINDA L (DEAC OS); (b) (6), (b) (7)(C) BORKOWSKI, MARK S; SAHAKIAN, DIANE V; (b) (6), (b) (7)(C) MICHELINI, DENNIS J; LADOWICZ, JOHN P; SMITH, BRENDA BROCKMAN; (b) (6), (b) (7)(C) BOYER, STEPHEN A; LUCK, SCOTT A (USBP); CUPP, MARY E (OCC); (b) (6), (b) (7)(C) SABATINO, DIANE J; CBP Region IV; CBP HQ Emergency Operations Center; SITROOM; DAHLSTROM, DANIEL P; (b) (6), (b) (7)(C) BOYD, VALERIE S; SANDERS, JOHN P; OVERACKER, THOMAS F; (b) (6), (b) (7)(C) HUDSON, RICHARD M; CAINE, JEFFREY; GRABLE, SAMUEL D; (b) (6), (b) (7)(C) DYKEMAN, STEVEN J; (b) (6), (b) (7)(C) HALL, CHRISTOPHER J; (b) (6), (b) (7)(C) BAKER, PAUL; PETERLIN, MEGHANN K; PRIDDY, JOHN W; (b) (6), (b) (7)(C) REMBOLD, ERIC; CBP HQ EOC; FEMA-NRCC-lescbp; BHAGOWALIA, SONNY; PORVAZNIK, ANTHONY J; (b) (6), (b) (7)(C) ; HARRIS, MELVIN; (b) (6), (b) (7)(C) GOLDSMITH, ANDREW S.; (b) (6), (b) (7)(C) WURST, CHRISTOPHER; Dykeman, Steven J; (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) YANDO, DONALD F; (b) (6), (b) (7)(C) HUFFMAN, BENJAMINE C; (b) (6), (b) (7)(C) YMA016A-RMB-YUMA HQ CHIEFS CONFERENCE ROOM; (b) (6), (b) (7)(C) SMITH, FREDERICK B (OCC); (b) (6), (b) (7)(C) HIGHSMITH, ANNMARIE (OCC); COUREY, MARC BENNETT (OCC); LOWRY, KIM M; (b) (6), (b) (7)(C) HOWE, RANDY J; KOUMANS, MARK; FLANAGAN, PATRICK S;
Optional Attendees: (b) (6), (b) (7)(C)

Optional Attendees: (b) (6), (b) (7)(C) FULLER, JEFFREY; (b) (6), (b) (7)(C) MAYS, EDWARD J; (b) (6), (b) (7)(C) BUSINESS CONTINUITY PLANNING; (b) (6), (b) (7)(C)

Operations Support will facilitate the Commissioner's Conference Call today at 1700 (EDT). The conference call line will be available 10 minutes prior and roll call will commence 5 minutes before the start of the brief.

Telephonic Meeting:
Conference Call – LFC Senior Leaders Brief: Hurricane Response (Region IV)

Dial In Information:
(b) (7)(E)
PIN: (b) (7)(E)

POC:
CBP HQ Emergency Operations Center
(b) (6)

*****Please do not place your lines on hold, and mute your lines when not speaking****

(b) (6), (b) (7)(C)

Subject: LFC Senior Leaders Brief: Hurricane Response (Region IV)
Location: Telecon: (b) (7)(E) / (b) (7)(E)

Start: Mon 10/15/2018 5:15 PM
End: Mon 10/15/2018 6:15 PM
Show Time As: Tentative

Recurrence: (none)

Meeting Status: Not yet responded

Organizer: DEAC OPERATIONS SUPPORT
Required Attendees: MCALEENAN, KEVIN K; PEREZ, ROBERT E; Owen, Todd C (AC OFO); HOFFMAN, TODD A; YOUNG, EDWARD E; PROVOST, CARLA (USBP); (b) (6), (b) (7)(C) FALK, SCOTT K (OCC); KOLBE, KATHRYN; H.; LANDFRIED, PHIL A; JACKSTA, LINDA L (DEAC OS); (b) (6), (b) (7)(C) BORKOWSKI, MARK S; SAHAKIAN, DIANE V; (b) (6), (b) (7)(C) MICHELINI, DENNIS J; LADOWICZ, JOHN P; SMITH, BRENDA BROCKMAN; (b) (6), (b) (7)(C) BOYER, STEPHEN A; LUCK, SCOTT A (USBP); CUPP, MARY E (OCC); (b) (6), (b) (7)(C) SABATINO, DIANE J; CBP Region IV; CBP HQ Emergency Operations Center; SITROOM; (b) (6), (b) (7)(C) BOYD, VALERIE S; SANDERS, JOHN P; OVERACKER, THOMAS F; (b) (6), (b) (7)(C) HUDSON, RICHARD M; CAINE, JEFFREY; GRABLE, SAMUEL D; (b) (6), (b) (7)(C) DYKEMAN, STEVEN J; (b) (6), (b) (7)(C) HALL, CHRISTOPHER J; (b) (6), (b) (7)(C) BAKER, PAUL; PETERLIN, MEGHANN K; PRIDDY, JOHN W; (b) (6), (b) (7)(C) REMBOLD, ERIC; CBP HQ EOC; FEMA-NRCC-lescbp; BHAGOWALIA, SONNY; PORVAZNIK, ANTHONY J; (b) (6), (b) (7)(C) HARRIS, MELVIN; (b) (6), (b) (7)(C) GOLDSMITH, ANDREW S.; (b) (6), (b) (7)(C) WURST, CHRISTOPHER; Dykeman, Steven J; (b) (6), (b) (7)(C) YANDO, DONALD F; (b) (6), (b) (7)(C) HUFFMAN, BENJAMINE C; (b) (6), (b) (7)(C) ; YMA016A-RMB-YUMA HQ CHIEFS CONFERENCE ROOM; (b) (6), (b) (7)(C) SMITH, FREDERICK B (OCC); (b) (6), (b) (7)(C) HIGHSMITH, ANNMARIE (OCC); COUREY, MARC BENNETT (OCC); LOWRY, KIM M; (b) (6), (b) (7)(C) HOWE, RANDY J; KOUMANS, MARK; FLANAGAN, PATRICK S;
Optional Attendees: (b) (6), (b) (7)(C)

Optional Attendees: (b) (6), (b) (7)(C) FULLER, JEFFREY; (b) (6), (b) (7)(C) MAYS, EDWARD J; (b) (6), (b) (7)(C) BUSINESS CONTINUITY PLANNING; (b) (6), (b) (7)(C) ECKARDT, LOTHAR E

Operations Support will facilitate the Commissioner's Conference Call today at 1715 (EDT). The conference call line will be available 10 minutes prior and roll call will commence 5 minutes before the start of the brief.

Telephonic Meeting:
Conference Call – LFC Senior Leaders Brief: Hurricane Response (Region IV)

Dial In Information:
(b) (7)(E)
PIN: (b) (7)(E)

POC:
CBP HQ Emergency Operations Center
(b) (6)

*****Please do not place your lines on hold, and mute your lines when not speaking****

(b) (6), (b) (7)(C)

Subject: LFC Senior Leaders Brief: Hurricane Response (Region IV)
Location: Telecon: (b) (7)(E) / (b) (7)(E)

Start: Tue 10/9/2018 5:00 PM
End: Tue 10/9/2018 6:00 PM

Recurrence: (none)

Meeting Status: Accepted

Organizer: DEAC OPERATIONS SUPPORT
Required Attendees: MCALEENAN, KEVIN K; PEREZ, ROBERT E; Owen, Todd C (AC OFO); HOFFMAN, TODD A; YOUNG, EDWARD E; PROVOST, CARLA (USBP); (b) (6), (b) (7)(C) FALK, SCOTT K (OCC); KOLBE, KATHRYN; CALVO, KARL H.; LANDFRIED, PHIL A; JACKSTA, LINDA L (DEAC OS); (b) (6), (b) (7)(C) BORKOWSKI, MARK S; SAHAKIAN, DIANE V; (b) (6), (b) (7)(C) MICHELINI, DENNIS J; LADOWICZ, JOHN P; SMITH, BRENDA BROCKMAN; (b) (6), (b) (7)(C) BOYER, STEPHEN A; LUCK, SCOTT A (USBP); CUPP, MARY E (OCC); (b) (6), (b) (7)(C) SABATINO, DIANE J; CBP Region IV; CBP HQ Emergency Operations Center; SITROOM; (b) (6), (b) (7)(C) BOYD, VALERIE S; SANDERS, JOHN P; OVERACKER, THOMAS F; (b) (6), (b) (7)(C) HUDSON, RICHARD M; CAINE, JEFFREY; GRABLE, SAMUEL D; (b) (6), (b) (7)(C) DYKEMAN, STEVEN J; (b) (6), (b) (7)(C) HALL, CHRISTOPHER J; (b) (6), (b) (7)(C) BAKER, PAUL; PETERLIN, MEGHANN K; PRIDDY, JOHN W; (b) (6), (b) (7)(C) REMBOLD, ERIC; CBP HQ EOC; FEMA-NRCC-lescbp; BHAGOWALIA, SONNY; PORVAZNIK, ANTHONY J; (b) (6), (b) (7)(C) HARRIS, MELVIN; (b) (6), (b) (7)(C) GOLDSMITH, ANDREW S.; (b) (6), (b) (7)(C) WURST, CHRISTOPHER; Dykeman, Steven J; (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) YANDO, DONALD F; (b) (6), (b) (7)(C); HUFFMAN, BENJAMINE C; (b) (6), (b) (7)(C) YMA016A-RMB-YUMA HQ CHIEFS CONFERENCE ROOM; (b) (6), (b) (7)(C) SMITH, FREDERICK B (OCC); (b) (6), (b) (7)(C) HIGHSMITH, ANNMARIE (OCC); COUREY, MARC BENNETT (OCC); LOWRY, KIM M; (b) (6), (b) (7)(C) HOWE, RANDY J; KOUMANS, MARK; FLANAGAN, PATRICK S; (b) (6), (b) (7)(C)

Operations Support will facilitate the Commissioner's Conference Call today at 1700 (EDT). The conference call line will be available 10 minutes prior and roll call will commence 5 minutes before the start of the brief.

Telephonic Meeting:
Conference Call – LFC Senior Leaders Brief: Hurricane Response (Region IV)

Dial In Information:
(b) (7)(E)
PIN: (b) (7)(E)

POC:
CBP HQ Emergency Operations Center
(b) (6)

*****Please do not place your lines on hold, and mute your lines when not speaking****

(b) (6), (b) (7)(C)

Subject: LFC's Senior Leaders Brief: Caravan
Location: Telecon: (b) (7)(E) PIN: (b) (7)(E)

Start: Wed 10/31/2018 5:00 PM
End: Wed 10/31/2018 6:00 PM
Show Time As: Tentative

Recurrence: (none)

Meeting Status: Not yet responded

Organizer: DEAC OPERATIONS SUPPORT
Required Attendees: MCALEENAN, KEVIN K; PEREZ, ROBERT E; SANDERS, JOHN P; SAUNDERS, IAN C.; JACKSTA, LINDA L (DEAC OS); YOUNG, EDWARD E; OCKER, RONALD J; (b) (6), (b) (7)(C) HIGGERSON, DAVID P; FLORES, PETE ROMERO; MANCHA, HECTOR; (b) (6), (b) (7)(C) HASTINGS, BRIAN S; LUCK, SCOTT A (USBP); Owen, Todd C (AC OFO); HOWE, RANDY J; (b) (6), (b) (7)(C) BOYD, VALERIE S; PETERLIN, MEGHANN K; FLANAGAN, PATRICK S; (b) (6), (b) (7)(C) CHAVEZ, GLORIA I; SCOTT, RODNEY S; KARISCH, RODOLFO; PORVAZNIK, ANTHONY J; HULL, AARON A; PADILLA, MANUEL JR; ORTIZ, RAUL L; CHAVEZ, FELIX; BOATRIGHT, ROBERT L; MONCAYO, ERIK E; (b) (6), (b) (7)(C) HUDAK, MATTHEW J; VILLAREAL, ROY D; (b) (6), (b) (7)(C) SELF, JEFFREY D; CLEM, CHRIS T; (b) (6), (b) (7)(C) COUREY, MARC BENNETT (OCC); PROVOST, CARLA (USBP); WAGNER, JOHN P; (b) (6), (b) (7)(C) GRABLE, SAMUEL D; (b) (6), (b) (7)(C) EPT CHIEFS CONF RM CALENDAR; MEEHAN, ANDREW C; FALK, SCOTT K (OCC); LADOWICZ, JOHN P; BOYER, STEPHEN A; (b) (6), (b) (7)(C) MURDOCK, JUDSON W; (b) (6), (b) (7)(C) KOLBE, KATHRYN; KOUMANS, MARK; SMITH, BRENDA BROCKMAN; WHITTENBURG, CYNTHIA F; BORKOWSKI, MARK S; SAHAKIAN, DIANE V; (b) (6), (b) (7)(C) HOFFMAN, TODD A; (b) (6), (b) (7)(C) CALVO, KARL H.; LANDFRIED, PHIL A; (b) (6), (b) (7)(C) MICHELINI, DENNIS J; (b) (6), (b) (7)(C) CUPP, MARY E (OCC); (b) (6), (b) (7)(C) SABATINO, DIANE J; CBP Region IV; CBP HQ Emergency Operations Center; SITROOM; (b) (6), (b) (7)(C) OVERACKER, THOMAS F; (b) (6), (b) (7)(C) HUDSON, RICHARD M; CAINE, JEFFREY; (b) (6), (b) (7)(C) Dykeman, Steven J; (b) (6), (b) (7)(C) HALL, CHRISTOPHER J; (b) (6), (b) (7)(C) BAKER, PAUL; PRIDDY, JOHN W; (b) (6), (b) (7)(C) REMBOLD, ERIC; CBP HQ EOC; FEMA-NRCC-lescbp; BHAGOWALIA, SONNY; (b) (6), (b) (7)(C) HARRIS, MELVIN; (b) (6), (b) (7)(C) GOLDSMITH, ANDREW S.; (b) (6), (b) (7)(C) WURST, CHRISTOPHER; DYKEMAN, STEVEN J; (b) (6), (b) (7)(C)

Required Attendees: (b) (6), (b) (7)(C) YANDO, DONALD F; (b) (6), (b) (7)(C) HUFFMAN, BENJAMINE C; YMA016A-RMB-YUMA HQ CHIEFS CONFERENCE ROOM; (b) (6), (b) (7)(C) SMITH, FREDERICK B (OCC); (b) (6), (b) (7)(C) HIGHSMITH, ANNMARIE (OCC); LOWRY, KIM M; (b) (6), (b) (7)(C) OIT - BCP TEAM; COLE, ALMA R.; COSTELLO, ROBERT J; B.; MAYS, EDWARD J; BLESSEY, CAROLINE M (OCC); (b) (6), (b) (7)(C) JTFCoordination

Optional Attendees: (b) (6), (b) (7)(C)

Operations Support will facilitate the LFC's Senior Leaders brief today at 1600 (EDT). The conference call line will be available 10 minutes prior and roll call will commence 5 minutes before the start of the brief.

Dial In Information:
Toll Free: (b) (7)(E)
International: (b) (7)(E)
PIN: (b) (7)(E)

POC:
CBP HQ Emergency Operations Center
(b) (6)

*****Please do not place your lines on hold, and mute your lines when not speaking****

(b) (6), (b) (7)(C)

Subject: LFC's Senior Leaders Brief: Caravan
Location: Telecon: (b) (6), (b) (7)(C) PIN: (b) (6), (b) (7)(C)

Start: Thu 11/1/2018 5:00 PM
End: Thu 11/1/2018 6:00 PM
Show Time As: Tentative

Recurrence: (none)

Meeting Status: Not yet responded

Organizer: DEAC OPERATIONS SUPPORT
Required Attendees: MCALEENAN, KEVIN K; PEREZ, ROBERT E; SANDERS, JOHN P; SAUNDERS, IAN C.; JACKSTA, LINDA L (DEAC OS); YOUNG, EDWARD E; OCKER, RONALD J; (b) (6), (b) (7)(C) HIGGERSON, DAVID P; FLORES, PETE ROMERO; MANCHA, HECTOR; (b) (6), (b) (7)(C) HASTINGS, BRIAN S; LUCK, SCOTT A (USBP); Owen, Todd C (AC OFO); HOWE, RANDY J; (b) (6), (b) (7)(C) BOYD, VALERIE S; PETERLIN, MEGHANN K; FLANAGAN, PATRICK S; (b) (6), (b) (7)(C) CHAVEZ, GLORIA I; SCOTT, RODNEY S; KARISCH, RODOLFO; PORVAZNIK, ANTHONY J; HULL, AARON A; PADILLA, MANUEL JR; ORTIZ, RAUL L; CHAVEZ, FELIX; BOATRIGHT, ROBERT L; MONCAYO, ERIK E; (b) (6), (b) (7)(C) HUDAK, MATTHEW J; VILLAREAL, ROY D; (b) (6), (b) (7)(C) SELF, JEFFREY D; CLEM, CHRIS T; (b) (6), (b) (7)(C) COUREY, MARC BENNETT (OCC); PROVOST, CARLA (USBP); WAGNER, JOHN P; (b) (6), (b) (7)(C) GRABLE, SAMUEL D; (b) (6), (b) (7)(C) EPT CHIEFS CONF RM CALENDAR; MEEHAN, ANDREW C; FALK, SCOTT K (OCC); LADOWICZ, JOHN P; BOYER, STEPHEN A; (b) (6), (b) (7)(C) MURDOCK, JUDSON W; (b) (6), (b) (7)(C) KOLBE, KATHRYN; KOUMANS, MARK; SMITH, BRENDA BROCKMAN; WHITTENBURG, CYNTHIA F; BORKOWSKI, MARK S; SAHAKIAN, DIANE V; (b) (6), (b) (7)(C) HOFFMAN, TODD A; (b) (6), (b) (7)(C) CALVO, KARL H.; LANDFRIED, PHIL A; (b) (6), (b) (7)(C) MICHELINI, DENNIS J; (b) (6), (b) (7)(C) CUPP, MARY E (OCC); (b) (6), (b) (7)(C) SABATINO, DIANE J; CBP Region IV; CBP HQ Emergency Operations Center; SITROOM; (b) (6), (b) (7)(C) OVERACKER, THOMAS F; (b) (6), (b) (7)(C) HUDSON, RICHARD M; CAINE, JEFFREY; (b) (6), (b) (7)(C) Dykeman, Steven J; (b) (6), (b) (7)(C) HALL, CHRISTOPHER J; (b) (6), (b) (7)(C) BAKER, PAUL; PRIDDY, JOHN W; (b) (6), (b) (7)(C) REMBOLD, ERIC; CBP HQ EOC; FEMA-NRCC-lescbp; BHAGOWALIA, SONNY; (b) (6), (b) (7)(C) HARRIS, MELVIN; (b) (6), (b) (7)(C) GOLDSMITH, ANDREW S.; (b) (6), (b) (7)(C) WURST, CHRISTOPHER; DYKEMAN, STEVEN J (b) (6), (b) (7)(C)

Required Attendees:

(b) (6), (b) (7)(C)

(b) (6), (b) (7)(C) YANDO, DONALD F; (b) (6), (b) (7)(C) HUFFMAN, BENJAMINE C; (b) (6), (b) (7)(C) YMA016A-RMB-YUMA HQ CHIEFS CONFERENCE ROOM; (b) (6), (b) (7)(C) SMITH, FREDERICK B (OCC); (b) (6), (b) (7)(C) HIGHSMITH, ANNMARIE (OCC); LOWRY, KIM M; (b) (6), (b) (7)(C) OIT - BCP TEAM; COLE, ALMA R.; COSTELLO, ROBERT J; HENDERSON, RACHELLE B.; MAYS, EDWARD J; BLESSEY, CAROLINE M (OCC); (b) (6), (b) (7)(C) JTFCoordination;

(b) (6), (b) (7)(C)

Operations Support will facilitate the LFC's Senior Leaders brief today at 1700 (EDT). The conference call line will be available 10 minutes prior and roll call will commence 5 minutes before the start of the brief.

Dial In Information:
Toll Free: (b) (7)(E)
International: (b) (7)(E)
PIN: (b) (7)(E)

POC:
CBP HQ Emergency Operations Center
(b) (6)

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Mute your lines when not speaking
Do Not Attempt To Transfer The Call To Another Person Once You Are Dialed In

(b) (6), (b) (7)(C)

Subject: LFC's Senior Leaders Brief: Caravan
Location: Telecon: (b) (7)(E) PIN: (b) (7)(E)

Start: Fri 11/2/2018 5:00 PM
End: Fri 11/2/2018 6:00 PM
Show Time As: Tentative

Recurrence: (none)

Meeting Status: Tentatively accepted

Organizer: DEAC OPERATIONS SUPPORT
Required Attendees: MCALEENAN, KEVIN K; PEREZ, ROBERT E; SANDERS, JOHN P; SAUNDERS, IAN C.; JACKSTA, LINDA L (DEAC OS); YOUNG, EDWARD E; OCKER, RONALD J; (b) (6), (b) (7)(C) HIGGERSON, DAVID P; FLORES, PETE ROMERO; MANCHA, HECTOR; (b) (6), (b) (7)(C) HASTINGS, BRIAN S; LUCK, SCOTT A (USBP); Owen, Todd C (AC OFO); HOWE, RANDY J; (b) (6), (b) (7)(C) BOYD, VALERIE S; PETERLIN, MEGHANN K; FLANAGAN, PATRICK S; (b) (6), (b) (7)(C) CHAVEZ, GLORIA I; SCOTT, RODNEY S; KARISCH, RODOLFO; PORVAZNIK, ANTHONY J; HULL, AARON A; PADILLA, MANUEL JR; ORTIZ, RAUL L; CHAVEZ, FELIX; BOATRIGHT, ROBERT L; MONCAYO, ERIK E; (b) (6), (b) (7)(C) HUDAK, MATTHEW J; VILLAREAL, ROY (b) (6), (b) (7)(C) SELF, JEFFREY D; CLEM, CHRIS T; (b) (6), (b) (7)(C) COUREY, MARC BENNETT (OCC); PROVOST, CARLA (USBP); WAGNER, JOHN P; (b) (6), (b) (7)(C) GRABLE, SAMUEL D; (b) (6), (b) (7)(C) ; EPT CHIEFS CONF RM CALENDAR; MEEHAN, ANDREW C; FALK, SCOTT K (OCC); LADOWICZ, JOHN P; BOYER, STEPHEN A; (b) (6), (b) (7)(C) MURDOCK, JUDSON W; (b) (6), (b) (7)(C) KOLBE, KATHRYN; KOUMANS, MARK; SMITH, BRENDA BROCKMAN; WHITTENBURG, CYNTHIA F; BORKOWSKI, MARK S; SAHAKIAN, DIANE V; (b) (6), (b) (7)(C) HOFFMAN, TODD A; (b) (6), (b) (7)(C) CALVO, KARL H.; LANDFRIED, PHIL A; (b) (6), (b) (7)(C) MICHELINI, DENNIS J; (b) (6), (b) (7)(C) CUPP, MARY E (OCC); (b) (6), (b) (7)(C) SABATINO, DIANE J; CBP Region IV; CBP HQ Emergency Operations Center; SITROOM; (b) (6), (b) (7)(C) OVERACKER, THOMAS F; (b) (6), (b) (7)(C) HUDSON, RICHARD M; CAINE, JEFFREY; (b) (6), (b) (7)(C) Dykeman, Steven J; (b) (6), (b) (7)(C) HALL, CHRISTOPHER J; (b) (6), (b) (7)(C) BAKER, PAUL; PRIDDY, JOHN W; (b) (6), (b) (7)(C) REMBOLD, ERIC; CBP HQ EOC; FEMA-NRCC-lescbp; BHAGOWALIA, SONNY; (b) (6), (b) (7)(C) HARRIS, MELVIN; (b) (6), (b) (7)(C) GOLDSMITH, ANDREW S.; (b) (6), (b) (7)(C) WURST, CHRISTOPHER; DYKEMAN, STEVEN J; (b) (6), (b) (7)(C)

Required Attendees: (b) (6), (b) (7)(C) YANDO, DONALD F; (b) (6), (b) (7)(C) HUFFMAN, BENJAMINE C; (b) (6), (b) (7)(C) YMA016A-RMB-YUMA HQ CHIEFS CONFERENCE ROOM; (b) (6), (b) (7)(C) SMITH, FREDERICK B (OCC); (b) (6), (b) (7)(C) HIGHSMITH, ANNMARIE (OCC); LOWRY, KIM M; (b) (6), (b) (7)(C) OIT - BCP TEAM; COLE, ALMA R.; COSTELLO, ROBERT J; HENDERSON, RACHELLE B.; MAYS, EDWARD J; BLESSEY, CAROLINE M (OCC); (b) (6), (b) (7)(C) JTFCoordination; (b) (6), (b) (7)(C) SDC OPSDIV; (b) (6), (b) (7)(C)

Operations Support will facilitate the LFC's Senior Leaders brief today at 1700 (EDT). The conference call line will be available 10 minutes prior and roll call will commence 5 minutes before the start of the brief.

Dial In Information:
Toll Free: (b) (7)(E)
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CBP HQ Emergency Operations Center
(b) (6)

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(b) (6), (b) (7)(C)

Subject: LFC's Senior Leaders Brief: Caravan
Location: Telecon: (b) (7)(E) PIN: (b) (7)(E)

Start: Tue 10/30/2018 4:00 PM
End: Tue 10/30/2018 5:00 PM

Recurrence: (none)

Meeting Status: Accepted

Organizer: DEAC OPERATIONS SUPPORT
Required Attendees: MCALEENAN, KEVIN K; PEREZ, ROBERT E; SANDERS, JOHN P; SAUNDERS, IAN C.; JACKSTA, LINDA L (DEAC OS); YOUNG, EDWARD E; OCKER, RONALD J; (b) (6), (b) (7)(C) HIGGERSON, DAVID P; FLORES, PETE ROMERO; MANCHA, HECTOR; (b) (6), (b) (7)(C) HASTINGS, BRIAN S; LUCK, SCOTT A (USBP); Owen, Todd C (AC OFO); HOWE, RANDY J; (b) (6), (b) (7)(C) BOYD, VALERIE S; PETERLIN, MEGHANN K; FLANAGAN, PATRICK S; (b) (6), (b) (7)(C) CHAVEZ, GLORIA I; SCOTT, RODNEY S; KARISCH, RODOLFO; PORVAZNIK, ANTHONY J; HULL, AARON A; PADILLA, MANUEL JR; ORTIZ, RAUL L; CHAVEZ, FELIX; BOATRIGHT, ROBERT L; MONCAYO, ERIK E; (b) (6), (b) (7)(C) HUDAK, MATTHEW J; VILLAREAL, ROY D; (b) (6), (b) (7)(C) SELF, JEFFREY D; CLEM, CHRIS T; (b) (6), (b) (7)(C) COUREY, MARC BENNETT (OCC); PROVOST, CARLA (USBP); WAGNER, JOHN P; (b) (6), (b) (7)(C) GRABLE, SAMUEL D; (b) (6), (b) (7)(C) EPT CHIEFS CONF RM CALENDAR; MEEHAN, ANDREW C; FALK, SCOTT K (OCC); LADOWICZ, JOHN P; BOYER, STEPHEN A; (b) (6), (b) (7)(C) MURDOCK, JUDSON W; (b) (6), (b) (7)(C) KOLBE, KATHRYN; KOUMANS, MARK; SMITH, BRENDA BROCKMAN; WHITTENBURG, CYNTHIA F; BORKOWSKI, MARK S; SAHAKIAN, DIANE V; (b) (6), (b) (7)(C) HOFFMAN, TODD A; (b) (6), (b) (7)(C) CALVO, KARL H.; LANDFRIED, PHIL A; (b) (6), (b) (7)(C) MICHELINI, DENNIS J; (b) (6), (b) (7)(C) CUPP, MARY E (OCC); (b) (6), (b) (7)(C) SABATINO, DIANE J; CBP Region IV; CBP HQ Emergency Operations Center; SITROOM; (b) (6), (b) (7)(C) OVERACKER, THOMAS F; (b) (6), (b) (7)(C) HUDSON, RICHARD M; CAINE, JEFFREY; (b) (6), (b) (7)(C) Dykeman, Steven J; (b) (6), (b) (7)(C) HALL, CHRISTOPHER J; (b) (6), (b) (7)(C) BAKER, PAUL; PRIDDY, JOHN W; (b) (6), (b) (7)(C) REMBOLD, ERIC; CBP HQ EOC; FEMA-NRCC-lescbp; BHAGOWALIA, SONNY; (b) (6), (b) (7)(C) HARRIS, MELVIN; (b) (6), (b) (7)(C) GOLDSMITH, ANDREW S.; (b) (6), (b) (7)(C) WURST, CHRISTOPHER; DYKEMAN, STEVEN J; (b) (6), (b) (7)(C)

Required Attendees: (b) (6), (b) (7)(C); (b) (6), (b) (7)(C); YANDO, DONALD F; (b) (6), (b) (7)(C); HUFFMAN, BENJAMINE C; (b) (6), (b) (7)(C); YMA016A-RMB-YUMA HQ CHIEFS CONFERENCE ROOM; (b) (6), (b) (7)(C); SMITH, FREDERICK B (OCC); (b) (6), (b) (7)(C); HIGHSMITH, ANNMARIE (OCC); LOWRY, KIM M; (b) (6), (b) (7)(C)

Optional Attendees: (b) (6), (b) (7)(C)

Operations Support will facilitate the LFC's Senior Leaders brief today at 1600 (EDT). The conference call line will be available 10 minutes prior and roll call will commence 5 minutes before the start of the brief.

Dial In Information:
Toll Free: (b) (7)(E)
International: (b) (7)(E)
PIN: (b) (7)(E)

POC:
CBP HQ Emergency Operations Center
(b) (6)

*****Please do not place your lines on hold, and mute your lines when not speaking****

(b) (6), (b) (7)(C)

Subject: Meet w/(b) (6), (b) (7)(C) and (b) (6), (b) (7)(C) (b) (7)(E)
Location: Chief's Teaming Area

Start: Tue 10/2/2018 10:00 AM
End: Tue 10/2/2018 10:45 AM

Recurrence: (none)

Meeting Status: Meeting organizer

Organizer: PROVOST, CARLA (USBP)
Required Attendees: (b) (6), (b) (7)(C)
Optional Attendees: SINGLETON, RUYNARD R

RE: Meeting

(b) (6), (b) (7)(C)

From: (b) (6)
Sent: Wednesday, September 26, 2018 8:12 PM
To: (b) (6), (b) (7)(C)
Subject: RE: Meeting

Dear (b) (6), (b) (7)(C)
I would like to confirm our meeting with Chief Provost for Next Tuesday Oct 2nd at 10:00am
If there is a possibility to move this left to 9:00am or 9:30am would appreciate but not nessary – the meeting is important.
Thank you for all your help Sir.
Sincerely

(b) (6)
Senior Director
Customs and Border Protection
(b) (7)(E)
Phone (b) (6)
Mobile (b) (6)
(b) (6)

From: (b) (6), (b) (7)(C)
Sent: Tuesday, September 25, 2018 4:24 PM
To: (b) (6)
Subject: RE: Meeting

(b) (6) sorry for the delayed response…been a hectic day.

She may have availability next Tuesday at 10am here at the RRB. Would that work for you both?

(b) (6), (b) (7)(C)
Assistant Chief
Adjutant to Chief Carla Provost
U.S. Border Patrol/Headquarters

(b) (6), (b) (7)(C) Office
iPhone

From: (b) (6)
Sent: Monday, September 24, 2018 6:44 PM
To: (b) (6), (b) (7)(C)
Subject: RE: Meeting

Dear (b) (6), (b) (7)(C)

Thank you for the update.
Let me know what I can do to support please.
Wed will work GREAT.
Also can we look at potential dates for a meeting with the Chief in DC the week of Oct 1st or the week of Oct 8th
Sincerely

(b) (6)
Senior Director
Customs and Border Protection
(b) (7)(E)
Phone (b) (6)
Mobile (b) (6)
(b) (6)

From: (b) (6), (b) (7)(C)
Sent: Monday, September 24, 2018 2:52 PM
To: (b) (6)
Subject: RE: Meeting

Hello (b) (6)
The Chief was out of the office today and has a tight schedule tomorrow. I will get back to you tomorrow with some possible meeting dates. Thank you.

(b) (6), (b) (7)(C)
Assistant Chief
Adjutant to Chief Carla Provost
U.S. Border Patrol/Headquarters

(b) (6), (b) (7)(C) Office
iPhone

From: (b) (6)
Sent: Monday, September 24, 2018 9:52 AM
To: (b) (6), (b) (7)(C)
Cc: PROVOST, CARLA (USBP) (b) (6), (b) (7)(C)
Subject: Meeting

Dear (b) (6), (b) (7)(C)
Wanted to follow up and finalize the meeting we discussed for (b) (6), (b) (7)(C) **President / CO of** (b) (7)(E) (b) (7)(E) **and Chief Provost in DC.**
Do you have a 45 min window either this week or next or even the week of Oct 7th.?

Additionally would Chief Provost have a 20 min window to have a call with (b) (6), (b) (7)(C) **this week? Possibly later today or tomorrow?**
Topics: introductions, update on (b) (7)(E) **and road map forward to support gaining operational control of the border.**

Please feel free to call me any time

Sincerely

(b) (6)
Senior Director
Customs and Border Protection
(b) (7)(E)
Phone (b) (6)
Mobile (b) (6)
(b) (6)

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(b) (6), (b) (7)(C)

Subject: Meet w/CPA (b) (6), (b) (7)(C)
Location: Chief's Office

Start: Mon 10/29/2018 2:30 PM
End: Mon 10/29/2018 3:00 PM

Recurrence: (none)

Meeting Status: Meeting organizer

Organizer: PROVOST, CARLA (USBP)
Required Attendees: (b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)

Subject: meet w/SOCNORTH Commander
Location: Conference Room (b)(7)(E)

Start: Thu 9/13/2018 10:00 AM
End: Thu 9/13/2018 11:00 AM

Recurrence: (none)

Meeting Status: Meeting organizer

Organizer: PROVOST, CARLA (USBP)
Required Attendees: PROVOST, CARLA (USBP); LUCK, SCOTT A (USBP); HUDSON, RICHARD M; (b) (6), (b) (7)(C)

Optional Attendees: (b) (6), (b) (7)(C) CPT USSOCOM SOCNORTH (b) (6), (b) (7)(C)
Resources: USBP CONFERENCE ROOM (b)(7)(E)

<< Attachments:

RE: SOCNORTH CDR Visit to NCR 9/13 (22.2KB)

>>

(b) (6), (b) (7)(C)

Subject: Meeting with B1
Location: EAC Young's Office

Start: Mon 10/1/2018 9:00 AM
End: Mon 10/1/2018 10:00 AM

Recurrence: (none)

Meeting Status: Accepted

Organizer: YOUNG, EDWARD E
Required Attendees: PROVOST, CARLA (USBP)
Optional Attendees: (b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)

Subject: Mentoring session w/(b) (6), (b) (7)(C)
Location: Chief's Teaming Area

Start: Thu 11/8/2018 1:30 PM
End: Thu 11/8/2018 2:00 PM

Recurrence: (none)

Meeting Status: Meeting organizer

Organizer: PROVOST, CARLA (USBP)
Required Attendees: (b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)

Subject: National Hispanic Heritage Month
Location: CBP HQ Press Briefing Room C1.47

Start: Thu 10/4/2018 10:00 AM
End: Thu 10/4/2018 11:00 AM
Show Time As: Tentative

Recurrence: (none)

Meeting Status: Tentatively accepted

Organizer: SALAZAR, REBEKAH A.
Required Attendees: PROVOST, CARLA (USBP); YOUNG, EDWARD E; (b) (6), (b) (7)(C) KOLBE, KATHRYN; (b) (6), (b) (7)(C)

You are invited to attend CBP's National Hispanic Heritage Month program on **Thursday, October 4, 2018, from 10-:00 – 11:00 am, the CBP/HQ Press Briefing Room, C1.47**. Acting Deputy Commissioner, Robert E. Perez, will be Keynote Speaker. The program recognizes the contributions of Hispanic and Latino Americans and reinforces CBP's commitment to a diverse and inclusive workplace. A cultural food sampling will be held in the RRB B.15-10 conference room following the program. The program will be live-streamed for all employees to view. See attached flyer for more details.

CBP Headquarters

National Hispanic Heritage Month

Hispanics: One Endless Voice To Enhance Our Tradition

Thursday, October 4, 2018
10am to 11am
CBP Press Briefing Room C1.47

- Agenda -

Welcome
Rebekah Salazar
Executive Director, Privacy and Diversity Office

Keynote Speaker
Robert E. Perez
Acting Deputy Commissioner, U.S. Customs and Border Protection

Closing Remarks
Rebekah Salazar

Please join us in Conference Room B1.5-10 for a light food sampling.

U.S. Customs and Border Protection | Privacy and Diversity Office

(b) (6), (b) (7)(C)

Subject: *New Date/Time*FY 2018 CBP Annual Assurance Statement
Location: Commissioner's Large Conference Room

Start: Thu 10/4/2018 10:00 AM
End: Thu 10/4/2018 10:30 AM
Show Time As: Tentative

Recurrence: (none)

Meeting Status: Tentatively accepted

Organizer: CBP COMMISSIONER SCHEDULER
Required Attendees: KOLBE, KATHRYN; SANDERS, JOHN P; GRABLE, SAMUEL D; CAINE, JEFFREY; SMITH, BRENDA BROCKMAN; Owen, Todd C (AC OFO); PROVOST, CARLA (USBP); YOUNG, EDWARD E; JACKSTA, LINDA L (DEAC OS); PEREZ, ROBERT E; LANDFRIED, PHIL A; (b) (6), (b) (7)(C) FLANAGAN, PATRICK S; (b) (6), (b) (7)(C) OC BRIEFING STAFF; (b) (6), (b) (7)(C) COLE, ALMA R.; WAGNER, JOHN P; WHITTENBURG, CYNTHIA F; (b) (6), (b) (7)(C) SMITH, FREDERICK B (OCC); (b) (6), (b) (7)(C) BHAGOWALIA, SONNY; FALK, SCOTT K (OCC)
Optional Attendees: BOYER, STEPHEN A; MURDOCK, JUDSON W; (b) (6), (b) (7)(C) LUCK, SCOTT A (USBP); HOOVER, CRINLEY S

BM: Yes
Lead Office: ES/OF
OC POC: (b) (6), (b) (7)(C)

FY 2018 Commissioner's Assurance Statement
October 1, 2018
10:00 AM
Commissioner's Small Conference Room

Overview:

- Brief C1 on the Annual Assurance Statement requirement and content, and request C1 signature.
  - The Assurance Statement reports on the state of CBP's operational, financial and information technology internal controls, identifies areas of exceptions, and outlines planned remediation activity and timelines.
  - The Commissioner is required to provide this assessment to the Secretary on October 01, 2018, in support of the DHS Accountability Act.
- Inform C1 of the Annual Commitment Statement requirement.
  - The Commitment Statement outlines the financial and information technology internal control issues and actions CBP is committing FY 2018 resources toward resolving and the internal control program assessments and deliverables CBP is committing to completing by specified due dates.
  - The Annual Assurance Statement and the Financial Statement Audit identify the control issues to be considered in developing the Commitment Statement.
  - The formal request for the CBP Commitment Statement is typically received from DHS after the start of the new fiscal year.
- Participants: You will be meeting with the CBP CFO, EACs, Chief, OIT AC, OF DAC, OS Risk Analysis and Capabilities Assessment Branch Chief, OS Integrated Planning Division Director.

Discussion Points:

- Questions regarding financial conditions and the new section of operational conditions.

Background:

- This is an annual requirement related to multiple legislative requirements.
- The format has changed in FY 2018 to include operational conditions
- This product is consolidated with other DHS Components and eventually becomes public.

ATTACHMENTS: (Please use bullets rather than numbers or letters)

- FY 2018 Commissioner's Assurance Statement (DRAFT) – for signature
- Assurance Statement Overview Briefing
- Comparison of FY 2017 to FY 2018 Assurance Statement
- CBP Inventory of Issues
- FY 2017 Commissioner's Assurance Statement (FINAL) – for reference
- FY 2018 Assurance Statements from EACs and Chief

PARTICIPANTS:

CBP

Kevin McAleenan, Commissioner
Robert Perez, Acting Deputy Commissioner
John Sanders, COO, Office of the Commissioner
Kathryn Kolbe, EAC, Enterprise Services
Samuel Grable, CFO/AC, Office of Finance
Jeffrey Caine, DCFO/DAC, Office of Finance
Brenda Smith, EAC, Office of Trade
Todd Owen, EAC, Office of Field Operations
Carla Provost, Chief, United States Border Patrol
Edward Young, EAC, Air and Marine
Linda Jacksta, DEAC, Operations Support
Phil Landfried, AC, Office of Information and Technology
(b) (6), (b) (7)(C) Director, Office of Finance
(b) (6), (b) (7)(C) Branch Chief, Office of Finance
(b) (6), (b) (7)(C) Branch Chief, Operations Support
(b) (6), (b) (7)(C) Director, Operations Support
(b) (6), (b) (7)(C) Deputy Chief of Staff, Office of the Commissioner

Non-CBP

(b) (6) Contractor, Guidehouse LLP (formerly PwC Public Sector LLP)
(b) (6) Contractor, Guidehosue LLP (formerly PwC Public Sector LLP)

Staff Responsible for Briefing Memo:

If you have any questions or require additional information, please contact (b) (6), (b) (7)(C) at (b) (6), (b) (7)(C)

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1300 Pennsylvania Avenue, NW
Washington, DC 20229

U.S. Customs and Border Protection

OCT 0 2 2017

Commissioner

INFORMATION

MEMORANDUM FOR THE ACTING SECRETARY

FROM: Kevin K. McAleenan
Acting Commissioner [redacted]

SUBJECT: **Fiscal Year 2017 CBP Internal Control Assurance Statement**

In accordance with your delegation of responsibilities to me, I have directed an evaluation of the internal controls at U.S. Customs and Border Protection (CBP) in effect during the fiscal year (FY) ended September 30, 2017. This evaluation was conducted in accordance with Office of Management and Budget (OMB) Circular A-123, *Management's Responsibility for Enterprise Risk Management and Internal Control*, July 2016. Based on the results of this evaluation, CBP may provide the following assurance statements.

Reporting Pursuant to FMFIA Section 2. 31 U.S.C. 3512(d)(2)

In FY 2017, the CBP Chief Financial Officer (CFO) was newly required to assert that CBP policies are compliant with requirements of the DHS Financial Management Policy Manual (FMPM). CBP cannot certify that all Component policies and procedures are in compliance with the Financial Management Policy Manual (FMPM). CBP has reviewed CBP accountabilities with respect to the FMPM, and is asserting to FMPM compliance as it relates to CBP's practices (i.e., processes, controls, oversight, and reporting activities). CBP expects to evaluate assertions related to compliance of CBP policies further in FY 2018. CBP provides reasonable assurance that internal controls conform to any new or updated Financial Management Policy Manual (FMPM) documents by the date required in each new/updated policy, **with the exception of the following non-conformances:**

a. **Chapter 3: Financial Management and Accounting**
   - Section 3.6: Accruals and Estimates – CBP is compliant to the extent that all estimates are in accordance with Statements of Federal Financial Accounting Standards (SFFAS). However, some data is obtained from the Automated Commercial Systems (ACS), which is not compliant with Federal Financial Management Improvement Act (FFMIA) standards.
   - Section 3.13: Non-Tax Delinquent Debt and Referrals to Treasury – All legally enforceable non-tax debt over 120 days delinquent has not been referred to Treasury for cross-servicing. As of July 2017, CBP had $552,219 of non-tax debt over 120 days of which $59,000 had not been referred to Treasury. The

delinquent debt is currently going through administrative due process procedures, and will be referred to Treasury for cross servicing once that process is complete.

b. **Chapter 8: Accounting Classification Structure**
   - Section 8.12: Mission Support Field 1/Section 8.13: Mission Support Field 2 – DHS has not yet defined the purpose/source of this element. When the data element is fully defined, CBP will implement the requirement, which could result in creating a new field in SAP or deriving the data element based on existing fields in SAP.
   - Section 8.14: Mission Program/Section 8.15: Mission Sub-Program/Section 8.16: Mission Activity – CBP cannot implement the Mission Program, Mission Sub-Program, and Mission Activity data elements at the transaction level. However, this information can be modeled at the summary level from CBP's activity based costing model. DHS is internally discussing the purpose/need of these data elements.

In addition, CBP is conducting a review of available material for areas where CBP was not able to determine whether its business practices are in compliance with the specific requirements of the FMPM - Chapter 1: Section 1.2; Chapter 2: Section 2.4.1, Section 2.5, Section 2.11; Chapter 3: Section 3.1, Section 3.2.2, Section 3.7, Section 3.14, Section 3.16, Section 3.17, and Section 3.18.

CBP has determined that the practices detailed in the following sections do not apply to CBP in FY 2017 - Chapter 1: Section 1.1, Section 1.3; Chapter 2: Section 2.10; Chapter 3: Section 3.2; Chapter 6: All Sections; Chapter 8: Section 8.3, Section 8.8, and Section 8.9.

CBP provides reasonable assurance that internal controls, including controls related to government charge cards, conference spending reporting, and improper payments are achieving their intended objectives, **with the exception of the following significant deficiencies found:**

a. **Drawback Payments** – CBP's Automated Commercial System (ACS) has inherent limitations in detecting and preventing excessive drawback claim payments. Legislation passed in FY 2016 and the planned system enhancements needed to implement the legislative changes are expected to fully remediate these issues by February 2019, which is the deadline for all drawback claims to follow the enacted provisions. The Trade Enforcement and Trade Facilitation Act (TFTEA) of 2015, signed into law on February 24, 2016, provides significant enhancements to the drawback laws under 19 USC 1313. Planned Automated Commercial Environment (ACE) deployments will further operationalize the provisions in the TFTEA and help CBP address longstanding weaknesses related to drawback payments while streamlining drawback processes for both CBP and the Trade and revising document retention requirements. Until the legislative changes and system improvements are realized, CBP expects Drawback controls to remain a significant deficiency. CBP will continue executing an enhanced drawback compliance measurement program, which emphasizes data integrity, accuracy, and timeliness to improve the validity of risk-based decisions, to mitigate the risk of excessive drawback claim payments.

b. **Overtime Pay Cap Monitoring** – Oversight exists within some Offices, however CBP lacks consistent, agency-wide oversight of employees' earnings with respect to the overtime pay cap established by DHS appropriations law, which prohibits any CBP employee from receiving overtime compensation in excess of $45,000 in a fiscal year without authorization as stated in FY 2017 DHS Appropriations Act (this limit was $35,000 prior to FY 2017). Exceeding the cap without authorization may be considered a violation of the Antideficiency Act (ADA). DHS is currently conducting an investigation regarding a potential violation of the ADA in FY 2015 and FY 2016 that CBP reported as a result of nine (9) employees whose overtime earnings exceeded the overtime pay cap established by DHS appropriations law without authorization. DHS will determine whether an ADA violation has occurred.

   CBP has communicated to the Program Offices their responsibility to monitor overtime caps within their respective offices and has educated each office on the tools currently available within the payroll system to monitor their compliance. In FY 2017, CBP drafted updates to the CBP-wide ADA directive and CBP-wide overtime directive, which are expected to be finalized in FY 2018. Following implementation of the revised policies and procedures, CBP plans to develop new training for CBP managers on overtime policy. CBP is also completing a CBP Overtime Scheduling System (COSS) Transformation Initiative to enhance the future state time and attendance solution, which will further assist in monitoring employees' overtime compensation.

Note: The FY 2016 Internal Control Assurance Statement reportable condition on Contract Management Oversight was resolved and is not included in the FY 2017 Internal Control Assurance Statement.

Reporting Pursuant to the DHS Financial Accountability Act, P.L. 108-330

As outlined by Departmental guidance, the scope of CBP's assessment of internal controls over financial reporting included performing tests of design and operational effectiveness throughout FY 2017 and verification and validation of corrective action effectiveness as of September 30, 2017.

In support of the Department's goal of obtaining an unqualified audit opinion on its internal control over financial reporting, CBP continued to expand the scope of its tests of design and operational effectiveness in FY 2017. Tests of design and operational effectiveness as well as verification and validation procedures generally resulted in some control deficiencies, some of which are considered to be significant deficiencies related to Revenue and Receivables Management, Property Management, Financial Reporting, and Budgetary Resources Management as described at the end of this section. CBP does not consider any of the deficiencies to be a material weakness.

Tests of Design and/or Operational Effectiveness were completed in the following areas:

a. **Financial Reporting** – Financial reporting considers objectives related to general ledger maintenance, balance sheet, external reporting requirements, accounting period maintenance and closing, required disclosures, and other areas. The tests of design over Financial Reporting identified key controls that were not designed effectively. Each of the control weaknesses have been categorized into one of the three themes: Policies and Procedures/Quality of Procedures, Documentation, and Monitoring/Review. Over the course of FY 2017, CBP implemented corrective actions to partially or fully remediate a substantial portion of these deficiencies, including updating standard operating procedures (SOPs) to formally document and/or enhance review procedures and enhanced evidence that management review procedures were properly performed. These improvements are undergoing subsequent testing to determine whether the corrective actions have sufficiently addressed the underlying deficiencies.

b. **Fund Balance with Treasury Management** – Fund Balance with Treasury Management (FBwT) considers objectives related to reconciliation and reporting, payment confirmation process, treasury information maintenance, and service provider monitoring. The test of design over FBwT identified one key control that was not designed effectively. This control weakness relates to a lack of supporting documentation to evidence management's review and approval over a reconciliation worksheet that informs the creation of journal vouchers in the general ledger. The tests of operational effectiveness over the FBwT business process did not result in any internal control deficiencies.

c. **Property Management** – Property Management considers objectives related to managing and accounting for property and inventory across the various stages of the asset management lifecycle, including acquiring, maintaining, and disposing of property. Tests of design identified key controls that were not designed effectively. The control weaknesses generally relate to a lack of control documentation and/or policies and procedures that do not document CBP's control activities, documentation requirements, and/or criteria for management reviews. Tests of operational effectiveness yielded some exceptions associated with lack of documentation and one exception associated with sales/disposals of Forfeited Property not recorded timely and completely in the financial system. The large size and geographic dispersion of CBP's asset portfolio and property custodians present inherent challenges in managing, accounting for, and accurately reporting accountable property. Considering the sheer volume of transactions and decentralized management structure, CBP expects that isolated errors or inaccuracies may occur. CBP's asset management programs continue to strengthen program-level governance, internal controls, and oversight activities to detect and correct erroneous transactions or records.

d. **Payment Management** – Payment management considers objectives related to accounts payable, invoicing, disbursing, payment follow-up, payee information maintenance, and reimbursable agreements. The tests of operational effectiveness over Payment Management across CBP did not result in any internal control deficiencies. However, additional Payment Management controls were assessed as part of the Financial Reporting assessment, which resulted in design deficiencies over key controls related to

threshold reasonableness of unrecorded liabilities, lack of review evidence for the Accrued Accounts Payable calculation percentage, and lack of review evidence for the IPAC Accrued Payable analysis prior to approval.

e. **Human Resources & Payroll Management** – Human Resources & Payroll Management considers objectives related to personnel action administration, benefits administration, time and attendance processing, leave processing, pay processing, labor cost and distribution, and reporting, reconciliation, and records retention. The tests of operational effectiveness did not result in any reportable exceptions. However, additional Human Resources & Payroll Management controls were assessed as part of the Financial Reporting assessment, which resulted in a design deficiency over a key control related to lack of evidence that management reviewed the year-end payroll and accrued payroll balances prior to approval.

f. **Revenue and Receivable Management** – Revenue and Receivable Management considers processes relating to liquidations, entry summary reporting, and daily collections. Tests of design performed over Revenue and Receivables Management functions within CBP's Revenue Division yielded deficiencies in several areas, including debit vouchers processing, sufficiency of single transaction bonds and continuous bonds, revenue suspense account (BCA), and standard operating procedures for debit voucher processing and the BCA weekly report. Tests of operational effectiveness were not performed due to the test of design deficiencies identified and ongoing ACE implementation, however FMD performed a reconciliation between ACS and SAP to provide reasonable assurance that revenue collections processes in ACS are accurately and completely posted to their corresponding Revenue general ledger accounts in SAP.

g. **Budgetary Resource Management** – Budgetary Resource Management considers processes relating to budget authority, funds distribution, funds control and funds status. The tests of design identified control deficiencies related to budget authority, including a lack of standard operating procedures for each of the business sub-processes under Budget to clearly delineate the control activities performed, lack of secondary reviews of recorded appropriation and apportionment transactions after the Director or proxy reviews appropriation and apportionment documentation and records budget authority and apportionment and reapportionments in the financial management system, resulting in the untimely detection and resolution of errors or discrepancies, and insufficient controls and procedures to ensure individuals that are required to take Antideficiency Act (ADA) training are entered in PALMS and completion monitored. Tests of operational effectiveness also identified exceptions related to insufficient controls and reviews of direct budget authority, anticipated reimbursable budget authority, and apportionments in general that led to inaccurate or incomplete recording in CBP's financial system; lack of evidence for review of the SF 132/133 reconciliation; and untimely recording of unfilled customer orders (UCOs) requiring carryover at year-end.

h. **Entity Level Controls** – For the FY 2017 ELC assessment, CBP used a risk-based approach to roll-forward and update the FY 2016 results, along with additional validations, to meet the FY 2017 ELC assessment requirement. As such, CBP focused its

efforts on ELC principles and related attributes whose controls are known to have undergone significant changes, ELC principles whose controls were deemed in FY 2016 as not fully meeting the objectives of the related principle, and ELC principles that the external auditors identified as deficient and subsequently underwent remediation. CBP has made incremental progress towards strengthening its ELC in specific areas that were considered "partially met" last year. However, the overall results are consistent with those of the FY 2016 assessment, reflecting seven (7) principles "partially met" and ten (10) principles "met." ELC assessment activities in FY 2018 are expected to further inform any corrective action for strengthening controls in select principles.

i. **Information Technology General Controls** – Full or targeted tests of operational effectiveness over ITGCs at the operating system, database, and application layers were conducted for seven (7) CFO-designated systems and one (1) significant general support system. The controls tested focused on security management, access control, configuration management, contingency planning, segregation of duties and business processes. The assessments resulted in the identification of control deficiencies associated with access controls (e.g., user account creation and recertification), audit log reviews, separation of duties, and other related areas. The access control and segregation of duties control sets represented the largest area of deficiencies across all systems tested. Specifically, policies and procedures for managing access, change management, and segregating duties were not complete or documented appropriately as well as evidence of testing changes were not detailed sufficiently. Remediation activity was implemented during FY 2017 and additional remediation is planned for FY 2018.

Verification and Validation of Corrective Actions were completed in the following areas:

Select business processes or sub-processes that underwent remediation in FY 2017, based on deficiencies identified by the financial statement audit or internal control assessments, generally were not within scope for the tests of operational effectiveness described above. The effectiveness of remediation activities completed in FY 2017 was assessed through verification and validation procedures.

a. **Revenue and Receivable Management** – Results of the verification and validation process conducted at CBP Ports of Entry indicate improvements were made, however issues remain with the consistent review and annotation of entry edit/exception reports.

b. **Information Technology General Controls** – Results of the verification and validation process confirmed that corrective actions were completed related to specific IT general controls and IT application controls and were effective in addressing specific FY 2016 financial statement audit deficiencies related to access controls, audit log reviews, separation of duties, configuration management, and security management across several CFO-designated systems, including SAP, Human Resources Business Engine (HRBE), ACE, and the Mainframe. Results indicate significant improvement, however broader IT control vulnerabilities remain across the portfolio of CBP's CFO-designated systems.

c. **Financial Reporting** – Results of the verification and validation process indicate significant overall improvements were made to address the deficiencies that contributed to the material weakness in FY 2016. However, V&V identified an issue that has only been partially resolved regarding inadequate controls over subsequent disbursements classifications. In addition, CBP recently improved its procedures for identifying all non-GAAP Policies to be included on the required listing as of year-end. FMD will be performing additional V&V at a later date to verify the operating effectiveness of these improved controls.

Based on the scope of this assessment, CBP provides reasonable assurance that internal control over financial reporting was designed and operating effectively, **with the exception of the following significant deficiencies found:**

a. **Revenue and Receivable Management** – In addition to the A-123 and verification and validation exceptions noted above, a FY 2017 Government Accountability Office (GAO) report, GAO-17-649, identified weaknesses in CBP's monitoring of the Foreign Trade Zone (FTZ) program. Specifically, CBP does not centrally compile FTZ compliance and enforcement information to analyze and respond to compliance and internal control risks across the program. Weaknesses in controls in reviewing and validating bond sufficiency, monitoring of FTZs, and running and reviewing entry edit/exception reports could impact CBP's ability to be aware of all items entering the U.S. commerce and collect all revenues owed. Planned implementation of a modernized collections system is expected to resolve some deficiencies related to bond sufficiency and entry edit/exception reports. In addition, CBP is pursuing interim and longer-term actions to strengthen its ability to assess and respond to compliance risks across the FTZ program, including actions to centrally compile FTZ compliance and enforcement data, and to conduct a risk analysis of the FTZ program.

b. **Property Management** – CBP's monitoring and oversight procedures for internal use software (IUS), including evidence of management reviews, are not sufficient to verify project costs are accurately classified into appropriate phases (e.g., design, development, and operations and maintenance) prior to being capitalized or expensed. This increases the risk that IUS costs may not be recorded accurately. Additional deficiencies related to seized and forfeited property, including a lack of review of seizure information entered into SEACATS to identify and investigate abnormal balances prior to inclusion in the footnote disclosure, increase the risk that not all seized and forfeited property is recorded completely, at the correct value/volume, or is not properly disclosed in the financial statements. Recognizing the large acquisition and asset management impact of the Southwest Border wall, CBP will capitalize on prior lessons learned around accountability as an effective practice. CBP began implementing corrective actions to strengthen oversight and management review controls in these areas in FY 2017 and will continue to do so in FY 2018.

c. **Financial Reporting** – CBP has made substantial progress remediating control deficiencies that contributed to the material weakness identified in FY 2016. However, some deficiencies remain related to Accrued Accounts Payable and External Reporting

Requirements, including insufficient evidence or documentation of management's review procedures. These deficiencies increase the risk that CBP financial statements and/or DHS deliverables are not reviewed to mitigate the risk of errors or discrepancies. Although all deficiencies except for one are considered control deficiencies, when aggregated, CBP considers these individual control deficiencies to be a significant deficiency. In FY 2018, CBP will conduct additional testing over corrective actions implemented and continue to enhance financial reporting procedures.

d. **Budgetary Resources Management** – Management's review procedures over budget authority and apportionments are insufficient, increasing the risk that budgetary transaction errors are not identified timely, and that recorded budgetary transactions may be inaccurate or incomplete. Internal control assessments identified some transactions related to anticipated reimbursable budget authority, anticipated recovery budget authority, and apportionments that were not recorded completely in SAP due to insufficient controls. Management also identified the need for the development of standard operating procedures for each of the sub-processes under Budget (e.g., Allotments). In FY 2018, CBP plans to develop more robust standard operating procedures and enhance management reviews to reduce errors in recording appropriation and apportionment information in the financial system.

e. **Information Technology General Controls** – CBP has made substantial progress addressing internal control deficiencies related to access controls (e.g., user account creation and recertification), audit log reviews, separation of duties, configuration management, and security management across several CFO-designated systems, including SAP, HRBE, ACE, and the Mainframe. Results indicate significant improvement, however IT control vulnerabilities remain in these areas across the portfolio of CBP's CFO-designated systems. Remediation activity was implemented during FY 2017, and additional remediation is planned for FY 2018 to address specific deficiencies and enhance CBP's IT management controls program.

Reporting Pursuant to FMFIA Section 4, 31 U.S.C. 3512(d)(2)(B)

CBP's financial management systems conform with Government-wide requirements, **with the exception of the following non-conformances:**

a. **Core Financial Systems** – CBP's Automated Commercial System does not maintain trade receivable activity at the transaction level. This issue will be addressed by an ongoing initiative to refactor or replace ACS with a revenue management system that enables CBP to collect, deposit, and report revenue. The systems maintaining CBP's aircraft and marine spare parts inventories do not report addition and usage activity at the transaction level. CBP continues to make progress toward replacing the existing systems with a new Integrated Logistics Support System that can be configured to integrate with SAP and satisfy the financial system requirements. Leveraging CBP's existing Maximo instance and licenses, CBP intends to implement the new system solution by the end of FY 2018 pending available funding.

b. **Information Technology General Controls** – The DHS Office of Inspector General continues to identify information technology general and application control weaknesses at CBP. Weaknesses were cited in CBP's accounting system (SAP), mainframe system environments, and other CFO-designated systems, including weaknesses in access control, separation of duties processes, and audit logging and monitoring. Of these, access management represents the greatest risk to reliance on CBP's automated IT controls. CBP continued to enhance its IT management controls program and expand assessments over CFO-designated systems in FY 2017, which will continue in subsequent years. As part of this program, CBP has implemented remediation strategies to address issues across the portfolio of CFO-designated systems, including enhancing Information System Security Officer (ISSO) training to focus more on management control responsibilities and build a stronger ISSO core, restructured and improved the process for access provisioning and recertification, and developed and implemented a recertification tool by system. CBP also expanded the use of the auditing tool implemented in FY 2016 to assist with monitoring user activity and audit logs to additional systems. CBP offices, including the Office of Trade (ACE Business Office), Office of Finance, Office of Information and Technology, and Office of Field Operations maintained a high degree of collaboration to apply IT internal control considerations and improvements to planned system implementations throughout FY 2017, including Automated Commercial Environment (ACE) core functionality, which will continue in FY 2018.

   More broadly, CBP continued to make progress addressing cybersecurity vulnerabilities to prevent cyber attacks against CBP, including tracking cybersecurity vulnerabilities via a weekly scorecard and expanding vulnerability scanning for assets across all environments. CBP will continue efforts in FY 2018 to strengthen cybersecurity and address remaining vulnerabilities.

Note: The FY 2016 Internal Control Assurance Statement reportable condition on Information Technology Infrastructure was resolved and is not included in the FY 2017 Internal Control Assurance Statement.

Reporting Pursuant to the Reports Consolidation Act, P.L. 106-531, Section 3516(e)

CBP provides reasonable assurance that the performance data used in the Department's Agency Financial Report is complete and reliable.

Reporting Pursuant to Federal Managers' Financial Integrity Act of 1982 (31 U.S.C. 3512(d)(2))

CBP provides reasonable assurance that the prime Federal award financial data in USAspending.gov is correct at the reported percentage of accuracy, has adequate internal controls over the underlying spending; and has implemented processes to ensure data completeness and accuracy on USAspending.gov by using control totals with financial statement data and comparing samples of financial data to actual award documents.

Additionally, pursuant to the *Digital Accountability and Transparency Act of 2014* (DATA Act), Pub. L. No. 113-101, CBP provides reasonable assurance that internal controls that support the reliability and validity of the Component's account-level and award-level data reported for display on USASpending.gov are achieving their intended objectives.

If you have any questions or would like additional information, please contact my office at (b) (6), (b) (7)(C) or a member of your staff may contact (b) (6), (b) (7)(C) Chief Financial Officer, at (b) (6), (b) (7)(C)

U.S. Department of Homeland Security
Washington, DC 20229

U.S. Customs and Border Protection

DATE: August 8, 2018

MEMORANDUM FOR: Samuel D. Grable
Chief Financial Officer

FROM: Stephen Schorr, Deputy Chief of Sta (b) (6), (b) (7)(C)
Office of the Commissioner

SUBJECT: Fiscal Year 2018 Office of the Commissioner Internal Control Assurance Statement

During Fiscal Year (FY) 2018, the Office of the Commissioner evaluated the systems of controls for the programs and activities operating within our organization as well as the systems of controls for the U.S. Customs and Border Protection (CBP) national programs for which the Office of the Commissioner has program oversight.

Section 1: Program/Activity Reviews with No Significant Deficiencies

Based on these evaluations, I can state with reasonable assurance that the system of controls are adequate for the programs and/or activities listed below:

- Self-Inspection Program (SIP) cycle results
  - Conference Planning
  - Emergency Preparedness – Headquarters
  - Employee Separation
  - Mandatory Employee Verification
  - Major Acquisitions
  - Receipt and Acceptance of Goods
  - Occupational Safety and Health
  - Physical Computer Security
  - Information Technology Acquisition Review
  - Purchase Card Program
  - Badges and Credentials
  - Mandatory Supervisory Training
  - Travel Card Program

Section 2a: Financial Program/Activity Reviews with Significant Deficiencies

The evaluations did not identify any financial programs and/or activities with significant deficiencies within their systems of controls.

Section 2b: Operational Program/Activity Reviews with Significant Internal Control Deficiencies

The evaluations did not identify any operational programs and/or activities with significant deficiencies within their systems of controls.

Section 3: Response to Prior Year (FY 2017) CBP Assurance Statement Conditions

The Office of the Commissioner did not have any contributions to exceptions reported on the FY 2017 CBP Annual Assurance Statement.

Section 4: Significant Internal Control Activities and Accomplishments in FY 2018

The following significant internal control activities and accomplishments occurred in FY 2018:

- The SIP cycle 2018 results for the OC revealed high levels of compliance in executing many functions supporting the CBP mission.
- 100% Completion for the FY 2018 Annual Personal Property Inventory and the FACTS Inventory

1300 Pennsylvania Avenue NW
Washington, DC 20229

U.S. Customs and Border Protection

AUG 13 2018

MEMORANDUM FOR: Samuel D. Grable
Chief Financial Officer

FROM: Andrew Meehan
Assistant Commission
Office of Public Affai
(b) (6), (b) (7)(C)

SUBJECT: FY 2018 Office of Public Affairs Internal Control Assurance Statement

During Fiscal Year (FY) 2018, the Office of Public Affairs (OPA) evaluated the systems of controls for the programs and activities operating within our organization as well as the systems of controls for the U.S. Customs and Border Protection (CBP) national programs for which OPA has program oversight. Based on these evaluations, I can state with reasonable assurance that the system of controls are adequate for the programs and/or activities listed below:

- Self-Inspection Programs Cycle Results
- Purchase Card Program
- Travel Card Program
- Physical Inventory

The evaluations also identified programs and/or activities with systems of controls that are adequate with the exception of the conditions identified below:

- Privacy – Due to the Hurricanes that took place in Florida, Texas, and Puerto Rico, staff in OPA were detailed to assist in these areas. When staff returned to their worksites they were unable to retrieve the training because the system would only generate the DHS: Protecting Privacy Personal Information for FY2018. Moving forward management will inform all staff to complete their required training in a timely manner.
- Mandatory Supervisory Training – Due to the Hurricanes that took place in Florida, Texas, and Puerto Rico, staff in OPA were detailed to assist in these areas. There were some staff who did not complete the DHS Cornerstone Give Back training as required. Moving forward management will inform all staff to complete their required training in a timely manner.
- Receipt and Acceptance of Ordered Goods and Services – Due to budget constraints and the Continuing Resolution (CR) funding was not readily available to process Ordered Goods and Services. When there is a CR and funding is not readily available, we do

- what we can to make sure the vendor gets paid timely when budget sends us the funds, and the CR is lifted.

OPA contributed to exceptions reported on the FY18 CBP Annual Assurance Statement and took the following actions to remediate the control exceptions:

The following significant internal control activities and accomplishments occurred in FY18:

- OPA completed the FY17 Annual Inventory and FY17 FACTS inventory seven weeks ahead of the Office of Facilities and Asset Management's scheduled deadline and were the first CBP office to complete both inventories. Our office completed the FY17 Annual Inventory and the FACTS Inventory at 100 percent with zero lost assets. And, OPA was proficient in the Local Property area during FY17.
- There were 26 offices who had to complete the FY18 Self-Inspection Worksheets, and OPA was the second CBP office to complete the worksheets six weeks ahead of the deadline.

Communication and Outreach Division:

- CBP multi-dimensional communication efforts encompasses paid print, radio and TV ads, earned media, social media and NGO partnerships. Most recent campaigns include:
    - ***Dangers of the Journey to Cross the Border*** campaign ran in 2013, 2014 and between January – March 2016 in Central America and Mexico.
    - ***Don't Risk Your Life*** testimonials featuring actual migrants launched in May/June and August 2016. The Department of State also released the testimonials and subsequent videos to markets in Central America.
    - ***Nuestra Patria, Nuestro Futuro*** (Our country, our future) targets the population of the Northern Triangle: Guatemala, El Salvador and Honduras. The objective is to create awareness among families about the realities that migrants of all ages, especially unaccompanied children, face when they travel to the United States without documents. The unbranded campaign originally ran in Guatemala, El Salvador and Honduras from December 2016 through May 2017. On July 30, 2018, CBP relaunched the campaign in Honduras and El Salvador with media placements coming soon in Guatemala.
        - Survey results from the 2017 campaign had a high recall with nearly 60 percent on average.
        - The campaign had a strong impact in the Northern Triangle countries with a 75 percent in willingness to stop helping minors migrate without documents.

- OPA Frontline multi-media and print magazine published in-depth articles informing the public of effective CBP travel, trade enforcement and border security measures. The print magazine has a circulation of 80,362. Several of the articles were reprinted in external publications, including:
    - Biometrics Unmask Criminal in IRS Scam, February 2018, *Homeland Security Today.*
    - CBP and Biometrics: A history of innovative technology, February 2018, *Homeland Security Today.*
    - Biometric Breakthrough: How CBP is meeting its mandate and keeping America safe, February 2018, *Homeland Security Today.*
    - Fighting the Ivory Trade, February 2018, *K9 Cop Magazine.*
    - Biometric Breakthrough: How CBP is meeting its mandate and keeping America safe, publication scheduled for fall 2018, *International Airport Review.*
    - Hanging Tough: How CBP's first Enforce and Protect Act investigation helped America's last wire hanger manufacturer survive, scheduled for February 2019 publication, *WCO News/OMD Acctu* magazines (English and French).
- The Publication and Branding Review Board (PBRB) reviewed 161 submissions for brochures and pamphlets, CBP website content, videos and CBP exhibit materials to ensure consistency of CBP messaging and compliance with appropriate branding standards that represent the agency externally. The PBRB also reviewed 717 branding requests that reach external and internal audiences.
- Established the Stakeholder Engagement Program to analyze current engagement activities, develop a plan to enhance CBP's engagement, and implement engagement plans.
- Approved 468 speaking engagements (as of August 3, 2018) reaching an audience of 184,450 attendees. Audience reach was amplified through Facebook live events and tech talks at conferences. Most of the speaking events are now amplified by Facebook audience reach, tweets and other social media tools.
- Melbourne, FL became the 24th model port location displaying CBP videos and slides in their new international terminal.
- The History office launched a new lobby exhibit, "Hall of Honor," which celebrates the yesterday, today, and tomorrow of each of CBP's offices and features cases, panels, and a multi-media audiovisual component.
- Assisted the Office of Chief Counsel in the trademark process for nine program names and logos to ensure protection for agency brands. Programs include:
    - CTPAT
    - Ready Lane
    - Single Window
    - FAST
    - DTOP
    - Aqua Lane

  - CBP Roam
  - Mobile Passport (MPC)
  - Automatic Passport Control (APC)
- www.cbp.gov has seen consistent traffic in visits and page views year-to-year and quarter-to-quarter. Our outreach programs, as well as OPA's mission to have reliable and accurate information on the website have maintained our referrals (other sites linking to us) to www.cbp.gov. We have seen significant increases in traffic to our careers pages, namely "Border Patrol Agent" and "Customs and Border Protection Officer" pages, which both saw over 100 percent increase in page views.
- A new "Broker locator" system was implemented on www.cbp.gov to allow the public to find a broker at the port of entry they are using to import their goods. This allows CBP to make updates to the list of brokers in near real-time, compared to the old system of 30-60 days between updates.

Visual Communications Division:
The Visual Communications team continues to set the standard for Federal Government imagery acquisition, production and distribution. Through federal partnerships, intelligent integration and making the best use of our government facilities and funding the Visual Communications staff has successfully and responsibly executed their mission.

Senior Executive Services, Messaging and Support:

- Produced a career retrospective video featuring CBP Commissioner Kevin K. McAleenan for the "Señor Internacional" ceremony in Laredo, TX.
- Videotaped, photographed, and live-streamed Commissioner Kevin K. McAleenan's keynote address at the "International Summit on Borders Conference." Also photographed the Commissioner and former Acting Deputy Commissioner Ronald D. Vitiello on various panels at the conference.
- Produced the multi-part series "CBP Leadership Year" featuring interviews with CBP Commissioner Kevin K. McAleenan, Acting Deputy Commissioner Robert E. Perez, U.S. Border Patrol Chief Carla L. Provost, Office of Intelligence Assistant Commissioner Jennifer Ley, Office of Professional Responsibility Assistant Commissioner Matthew Klein, Chief Counsel Scott Falk, Deputy Chief Counsel Ann Marie Highsmith, Office of International Affairs Assistant Commissioner Ian Saunders and Office of Procurement Deputy Executive Director Diane Sahakian.
- Recorded a multiple segment series featuring Office of Trade Executive Assistant Commissioner Brenda Smith and Office of Trade Relations Executive Director Bradley Hayes discussing the Trade Facilitation and Trade Enforcement Act of 2015 (TFTEA) accomplishments since 2015.

DHS Support:

- Hosted, facilitated and recorded weekly DHS Office of Public Affairs "Pen-and-Pad" briefings with news media in the CBP Press Room.
- Recorded a series of videos featuring DHS Secretary Kirstjen M. Nielsen that included the following messages: "Welcome New US Citizens," "See Something, Say Something" and "Welcome New DHS Employees."
- Produced two "Blue Campaign Facebook Live" events detailing the realities of human trafficking and how viewers can help.
- Produced the live stream of the "DHS 15 Year Anniversary" featuring Vice President Mike Pence, DHS Secretary Kirstjen M. Nielsen, former DHS Secretaries Tom Ridge, Michael Chertoff and John Kelly.
- Recorded three "See Something, Say Something" PSA's aimed at increasing the public's safety awareness during the holiday season. The PSAs featured DHS Counter Terrorism Coordinator David Glawe and National Protection and Programs Directorate Undersecretary Chris Krebs. The PSAs were distributed on the DHS page as well as various social media networks.
- Recorded a video message with Deputy Undersecretary for Management (b) (6), (b) (7)(C) urging DHS employees to participate in the "Federal Employee Viewpoint Survey" (FEVS).
- Produced eight "DHS Leadership Year" video profiles featuring DHS Acting Secretary (b) (6), (b) (7)(C) Under Secretary for Management (b) (6), (b) (7)(C) Deputy Undersecretary for Management (b) (6), (b) (7)(C) Officer for Civil Rights and Civil Liberties (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) Undersecretary of the National Protection and Programs Directorate Chris Krebs, DHS Chief Information Officer (b) (6), (b) (7)(C) DHS Director, Chief Human Capital Officer (b) (6), (b) (7)(C) and Office of Operations Coordination (b) (6), (b) (7)(C) (b) (6), (b) (7)(C)
- Recorded seven video training modules with DHS Chief Procurement Officer (b) (6), (b) (7)(C)

Projects, Events and Miscellaneous Taskings:

- Documented the construction and testing of the "Border Wall Prototypes." Posted a total of 21 border wall related videos including b-roll, time-lapse, drones and press conferences of wall prototype construction for the (b) (7)(E) wall project.
- Documented CBP's "Hurricane Maria" relief support mission and posted 23 videos to DIVDS.
- Produced and live streamed the "2018 CBP Valor Memorial Ceremony." Also documented several "2018 Police Week" events CBP participated in such as the Blue Mass, 5K Road Race, Candlelit Vigil, Honor Guard Competition and the National Peace Officer's Memorial Service.
- Documented and live-streamed the ribbon-cutting ceremony for the Caribbean Air and Marine Branch Aircraft Storage Hanger and Administration Building at the Rafael

- Hernandez International Airport in Aguadilla, PR. The event was featured in a CBPrime video.
- Hosted three groups of children visiting the RRB for "Bring Your Child to Work Day" in the CBP television studio. The children spent time learning the workings and operations of a television studio and production techniques while producing three short video spots for use on the CBPNow digital signage playlist.
- Produced the "Walls Work" video to inform the American public, Congressional representatives, the community, the media and other key stakeholders about the need for a wall and other border infrastructure from a non-political, operational perspective. The video was posted to CBPgov, DVIDS, YouTube and CBP's social media platforms.
- Captured imagery of CBP's Security Mission for Super Bowl LII. Documenting OFO non-intrusive inspections and the AMO Air Support Operations. Imagery was posted to CBP Flickr, DVIDS, Digital Signage and CBP social media outlets.
- Recorded the pilot episode of "Know Before You Go," an audio and video podcast series that focuses on informing the public about topics they should be aware of before leaving and returning to the United States. The first episode focuses on expanding the biometrics program.
- Recorded a "Suicide Prevention" video message featuring Vadrienne B. Starks, MSW, LICSW. Ms. Starks discussed the steps that should be taken when you suspect a co-worker, friend or loved one is experiencing feelings of suicide. The video will be used in a pilot resiliency training course for OFO Employees.
- Photographed, recorded and video streamed the "CBP Commissioner's Annual Awards Ceremony" honoring multiple recipients.
- Provided production support to the White House Office of National Drug Control Policy and the CBP Office of Training and Development in the production of the "Fentanyl Safety Recommendations for First Responders" video. The video outlines the correct safety steps first responders should take when they encounter fentanyl and addresses myths associated with the drug.
- "CBPeople: Maya Daniels - K9 Therapist." CBPO Maya Daniels who is stationed at the DHL facility in Kentucky volunteers in her spare time by providing pet therapy at a local Veterans home. The video was posted on CBPnet, CBPgov, CBPNow, CBP YouTube and the CBP Social Media sites.

Media Division:

The Media Division has taken a proactive approach to correct misinformation and provide balance to otherwise negative stories. Employing a Rapid Response Team consisting of several Border Patrol Agents and a Customs and Border Protection Officer, we were able to pull the backgrounds on dozens of false allegations and correct the story in real time.

The Media Division also provided periodic updates to the media via press briefings and press releases on the prototypes to include the assessment and evaluation phase and the replacement wall construction in Calexico and RGV.

CBP earned unprecedented positive media coverage during the three back-to-back hurricanes that struck Texas, Florida and Puerto Rico in late summer/early fall last year. During Hurricane Irma, a Media Division public affairs specialist deployed for seven days to Florida to provide public affairs support to the field for several weeks.

Media Division personnel supported initial communication efforts in Texas and just days later turned to support public affairs response efforts for Hurricane's Irma and Maria. CBP's public affairs outreach efforts included everything from traditional prominent network news coverage to digital outreach efforts highlighted by the White House Communications team, Federal Emergency Management Agency and Department of Defense. CBP continuously shared critical information to stakeholders focusing initially on life-saving messaging while spearheading timely updates to the trade community and traveling public on the status of the ports of entry across Florida during Hurricane Irma and subsequently in Puerto Rico for Hurricane Maria.

AUG 7 2018

MEMORANDUM FOR: Samuel D. Grable
Chief Financial Off[redacted]

FROM: [redacted]
Acting Director
Joint Task Force - [redacted]

SUBJECT: Fiscal Year 2018 Joint Task Force – West Internal Control Assurance Statement

During Fiscal Year (FY) 2018, the Joint Task Force – West (JTF-W) evaluated the systems of controls for the programs and activities operating within our organization as well as the systems of controls for the U.S. Customs and Border Protection (CBP) national programs where JTF-W has program oversight.

Section 1: Program/Activity Reviews with No Significant Deficiencies

During FY 2018, JTF-W evaluated the systems of controls for the programs and activities operating within our organization as well as the systems of controls for CBP national programs where JTF-W has program oversight.

Based on these evaluations, I can state with reasonable assurance that the system of controls are adequate for the programs listed below:

- Self-Inspection Program (SIP) areas identified for field completion:
  - Awards
  - Badges and Credentials
  - Budget Execution
  - Firearms/Less-Lethal Training and Use of Force
  - Personal Property Management
  - Physical Computer Security / Systems Access
  - Purchase Card Program
  - Receipt and Acceptance of Ordered Goods and Services
  - Time and Attendance
  - Travel Card Program

Section 2a: Financial Program/Activity Reviews with Significant Deficiencies

Evaluations identified financial programs and/or activities with adequate systems of controls.

Section 2b: Operational Program/Activity Reviews with Significant Internal Control Deficiencies

Evaluations identified operational programs and/or activities with adequate systems of controls.

Section 3: Response to Prior Year (FY 2017) CBP Assurance Statement Conditions

JTF-W contributed to exceptions reported on the FY 2017 CBP Annual Assurance Statement and took the following actions to remediate the control exceptions:

- FY17 exception: **Asset Management** – In accordance with CBP's financial system of record the FY 2017 inventories for High Risk/Sensitive property did not meet the Department of Homeland Security (DHS) goal of 100 percent for Equipment Control Class 1 (ECC 1) assets.
    - Remediation actions: Employees received additional equipment accountability and reporting guidance to include:
        - Levels of responsibility (personal, direct, supervisory, custodial, and command) and accompanying obligations.
        - Importance of ensuring the security, upkeep, and use of equipment entrusted to individual custody.
        - Relative significance of ECC1 through ECC5 coded property.
        - Liability complications for losses derived from negligence or other wrongful conduct pertaining to use, loss, or custody.

Section 4: Significant Internal Control Activities and Accomplishments in FY 2018

The following JTF-W significant internal control activities and accomplishments occurred in FY 2018:

- Designed and implemented a Homeland Security Information Network (HSIN) Support Request tracking system designed to ensure effective tracking, feedback and accounting of a variety of field support requests throughout the JTF-W and its geographic corridors.
- Instituted a personnel Standard Operating Procedure (SOP) system designed to improve in/out processing effectiveness, reduce errors, omissions, and facilitate personnel turnover with minimal disruption to the JTF-W operational mission.
- Created an original HSIN-based Purchase Request tracker to more efficiently track acquisition requirements and funding levels throughout the JTF-W and its geographic corridors. The new system adds an important layer of internal accountability control via the tracking of all requests, approvals, and final purchases.

1300 Pennsylvania Avenue NW
Washington, DC 20229

U.S. Customs and Border Protection

August 10, 2018

MEMORANDUM FOR: Samuel D. Grable
Chief Financial Officer

FROM: Chief Counsel (b) (6), (b) (7)(C)
Office of Chief C

SUBJECT: Fiscal Year 2018 Office of Chief Counsel Internal Control Assurance Statement

During Fiscal Year (FY) 2018, the Office of Chief Counsel (OCC) evaluated the systems of controls for the programs and activities within our organization as well as the systems of controls for the U.S. Customs and Border Protection (CBP) national programs for which the Office of Chief Counsel has program oversight.

Based on these evaluations, I can state with reasonable assurance that the systems of controls are adequate for the programs and/or activities listed below:

- Management knowledge gained from internal assessments
- Self-Inspection Program (SIP) cycle results
- MID review (New York)
- Ethics program (OGE-450 and OGE-278 filers)
- Financial reporting to CFO of potential contingent legal liabilities emanating from judicial and administrative proceedings handled by OCC

The evaluations also identified programs and/or activities with systems of controls that are adequate with the exception of the conditions identified below:

- OCC SIP activities revealed minor discrepancies on programmatic procedures which were expeditiously corrected. The MID visited OCC NY this year as well also reporting minor discrepancies that were expeditiously addressed.

The following significant internal control activities and accomplishments occurred in FY 2018:

- Continued enhancing OCC's internal management and administrative information database to continue increasing knowledge of processes and policies.

- Continued actively participating in the CBP RIGO/Record Management Working Group to continue improving CBP internal records management and e-discovery procedures.

If you have any questions or require additional information, please have a member of your staff contact (b) (6), (b) (7)(C) Director, Business Management, at (b) (6), (b) (7)(C)

1300 Pennsylvania Avenue NW
Washington, DC 20229

AUG 2 3 2018

U.S. Customs and Border Protection

MEMORANDUM FOR: Samuel D. Grable
Chief Financial Officer
Office of Finance

FROM: Matthew Klein (b) (6), (b) (7)(C)
Assistant Commissioner
Office of Professional Responsibility

SUBJECT: Fiscal Year 2018 Office of Professional Responsibility
Internal Control Assurance Statement

During Fiscal Year (FY) 2018, the Office of Professional Responsibility (OPR) evaluated the system of controls for the programs and activities operating within our organization as well as the system of controls for the U.S. Customs and Border Protection (CBP) national programs for which OPR has program oversight.

Section 1: Program/Activity Reviews with No Significant Deficiencies

Based on these evaluations, I can state with reasonable assurance that the system of controls are adequate for the programs and/or activities listed below:

- FY 2018 Self-Inspection Program (SIP) cycle results.

Section 2a: Financial Program/Activity Reviews with Significant Deficiencies

The evaluations also identified **financial programs and/or activities** with system of controls that are adequate but had exceptions as described below in the following Management Inspections Division (MID) reviews:

- **MID-17-091 Self-Inspection Program (SIP) Validation Inspection Report: OPR Office of the Assistant Commissioner (AC) - Cycle 2017.** Objectives: 1) Assess office administration and implementation of SIP; 2) Evaluate the accuracy and completeness of reported self-inspection results; 3) Provide guidance or address SIP-related questions; and 4) Collect feedback concerning the self-inspection process that could be applied to enhance the program.
    - **Recommendation 7:** Ensure all goods/services receiving information is entered into SAP within five working days of an IPAC bill being posted in Workflow as a Parked document. Estimated Completion Date (ECD): 08/31/2018.

- **MID-17-094 / MID-18-001: SIP - Validation Inspection Report: OPR Investigative Operations Division (IOD), Los Angeles – Cycle 2017.** Objectives: To determine whether

the office is: 1) Properly implementing established policies and procedures; 2) Complying with federal laws and regulations; and 3) Ensuring the security of funds, property, and other agency resources.

- **Recommendation 2:** Management should ensure the card user signs the DHS Form 1502. ECD: 08/31/2018.
- **Recommendation 3:** Management should ensure that an independent third party (in addition to the CH and AO) signs and dates each Purchase Card Transaction Worksheet (DHS Form 1501). ECD: 08/31/2018.
- **Recommendation 5:** Management should obtain SMD certification or a waiver for the office's seized property storage area. ECD: 08/31/2018.
- **Recommendation 7:** Ensure all cardholders complete the GSA SmartPay travel card-training course every two years and that all completed training is recorded in PALMS. ECD: 08/31/2018.

Section 2b: Operational Program/Activity Reviews with Significant Internal Control Deficiencies

Review of the Enterprise Services, Performance Management and Analysis Division (PMAD), Government Performance and Results Act (GPRA) reporting requirements indicates OPR had no reportable significant deficiencies.

The evaluations identified **operational programs and/or activities** with systems of controls that are adequate but had exceptions as described below:

Asset Management – The CBP FY 2018 inventories for High Risk/Sensitive property, while continuing to show improvement, did not meet the Department of Homeland Security (DHS) goal of 100 percent accounting for Equipment Control Class 1 (ECC 1) assets. ECC1 assets are defined as assets that, if lost, could result in loss of life and/or critical mission impairment. This includes items that are dangerous or hazardous, law enforcement credentials, and classified or sensitive information. ECC 1 assets have a zero percent loss tolerance; CBP's rates do not meet the Department's target of 100 percent. The CBP/OPR inventory accuracy rate for ECC 1 assets maintained in the Firearms, Armor, and Credentials Tracking System (FACTS) was 00.01 percent, which represents two ECC1 badge losses (which were subsequently found and returned to service) out of over 17,000 OPR ECC1 FACTS items in inventory. Additionally, the OPR inventory accuracy rate for ECC 1 assets maintained in SAP—CBP's financial system of record—was 00.00 percent (zero losses).

- **OIG-SRG-0005: Disclosures Policies & Practices.** Objective: To conduct a preliminary inquiry into the Department of Homeland Security's (DHS)'s policies and practices relating to the disclosure of government information by DHS employees and contractors, including disclosures to the media. Lead Office: OPR. Final Report Issued 04/10/2018. Status: Canceled.

- ~~FOUO.~~ **OIG-18-18: Management Alert: CBP's Use of Examination and Summons Authority Under 19 U.S.C. Section 1509.** Objective: To review CBP's policies and

practices with respect to summonses issued pursuant to 19 U.S.C. 1509. Lead Office: OPR. Final Report Issued 11/20/2017.

- **Recommendation 1:** We recommend that CBP update the Internal Operating Procedures immediately to reflect the guidance on the use of Section 1509 Summonses provided in the May 25, 2017, email. ECD: 09/30/2018.
- **Recommendation 2:** We recommend CBP personnel receive training on the proper use of Section 1509 Summonses as soon as practicable. ECD: 09/30/2018.
- **Recommendation 3:** We recommend that CBP look at use of Section 1509 Summons across the agency to determine how such summonses are being used, and whether such uses comport with the law and CBP's updated policy. ECD: 09/30/2018.

- ~~FOUO.~~ **OIG 18-056-ISP-CBP, Immigration and Customs Enforcement (ICE), Transportation Security Administration (TSA) and the United States Secret Service (USSS): Employee Allegations of Sexual Harassment and Workplace Sexual Misconduct.** Objective: To determine whether CBP, ICE, TSA, and Secret Service appropriately report, investigate, and adjudicate employee allegations of sexual harassment and workplace sexual misconduct. Lead Office: OPR. Notification Date: 02/01/2018. In Progress.

(b) (7)(E)

Section 3: Response to Prior Year (FY 2017) CBP Assurance Statement Conditions

OPR contributed to exceptions reported on the FY 2017 CBP Annual Assurance Statement and took the following actions to remediate the control exceptions:

- **MID-15-029: Processing, Utilization and Tracking of Ammunition.** Objective: Review temporary storage guidelines for ammunition. Provide CBP offices with updated guidance on options for ammunition storage when permanent facilities are not available or adequate.
    - **Recommendation 8:** Review temporary storage guidelines for ammunition. Provide CBP offices with updated guidance on options for ammunition storage when permanent facilities are not available or adequate. OPR drafted guidance and issued it as part of the revised CBP Security Policy and Procedures Handbook. Closed 09/12/2017.

- **MID-18-095: CBP Internal Controls on Overtime Pay Caps.** Objectives: 1) Determine whether internal controls on overtime pay caps are in place at the office and agency level; and 2) Evaluate whether there are additional CBP employees who may have exceeded the overtime pay cap. Status: OPR has implemented a post pay period review of overtime earnings with notifications to the AC, Deputy AC, Chief of Staff, and Division Directors advising of high earners and proximity to the overtime cap.
    - **Recommendation 4d:** Once the CBP-wide overtime directive and SOP have been implemented, develop an office-wide policy governing overtime. ECD: 02/28/2019.
    - **Recommendation 5d:** MID reviewed the documentation, and determined it is representative of all OPR employees who earn overtime. Closed 02/28/2018.
    - **Recommendation 6d:** Regularly monitor the overtime earnings of those employees previously granted waivers to ensure they are not paid in excess of the new statutory overtime cap indicated on their approved waivers. ECD: 02/28/2019.

- **OIG-14-32: Integrity of CBP's Secure Electronic Network for Travelers' Rapid Inspection (SENTRI) Program.** Objective: To determine: 1) The adequacy of CBP's internal controls to detect and deter smugglers and drug traffickers from using SENTRI participants to transport illegal persons, contraband, or drugs; 2) To what extent has CBP established redress procedures for participants who believe they were wrongfully terminated from the SENTRI program; and 3) To what extent CBP is using and sharing data collected from the SENTRI, NEXUS, and Free and Secure Trade programs to identify illegal activities and trends associated with these programs. Lead: Office of Field Operations.
    - **Recommendation 5:** Develop and implement a plan with CBP's union to establish a program to conduct random polygraph screening of all CBP officers. Closed 04/10/18.

- **OIG-16-75: Customs and Border Protection's Criminal Investigative Authority.** Objective: To determine whether CBP has an effective process to identify the required number of criminal investigators needed to accomplish its mission. Lead: OPR. OPR was assigned 4 out of 5 recommendations.
    - **Recommendation 2:** Identify and capture data elements to perform a workload analysis for the IOD workforce. ECD: 12/30/2020.

  - **Recommendation 3:** Develop and implement procedures to ensure investigative workload data elements are complete, accurate and reliable. ECD: 12/30/2020.
  - **Recommendation 4:** Conduct needs assessment to determine appropriate staffing levels of the IOD. ECD: 03/31/2021.
  - **Recommendation 5:** Develop performance measures and goals to ensure the IOD is meeting mission requirements efficiently and effectively. ECD: 03/31/2021.

- **OIG-17-099-MA: Management Alert – CBP Spends Millions Conducting Polygraph Examinations on Unsuitable Applicants.** Objective: To determine whether DHS' polygraph examinations are an effective tool for screening new employees during the hiring process.
  - **Recommendation 1:** CBP establish an in-person pre-security interview well before the polygraph examination. OPR assigned the Personnel Security Division (PSD) to collaborate with Office of Human Resources Management (HRM) to prepare a feasibility study. Final Report Date: 07/30/2018. ECD: 12/31/2018.

- ~~FOUO -~~ **GAO-18-159SU (100928): Continuous Evaluation (CE) Process for Personnel Security Clearances.** Objectives: 1) To what extent have executive branch agencies designed, tested, and evaluated CE? 2) To what extent have executive branch agencies developed plans to implement CE and determined potential costs? and 3) To what extent are DOD and the Department of State investigating and adjudicating periodic reinvestigations of personnel security clearances in a timely manner and what is the potential impact of continuous evaluation on periodic reinvestigations? Lead Office: OPR. Final report date: 11/21/2017. No Recommendations.

- ~~FOUO -~~ **GAO 18-405 (101241): DHS' CBP, ICE and TSA Offices of Professional Responsibility.** Objectives: 1) What do CBP, ICE, and TSA Offices of Professional Responsibility data show about the amount, time frames, and outcomes of misconduct allegations and investigations from fiscal years 2014 through 2016? 2) To what extent do CBP, ICE, and TSA Offices of Professional Responsibility have internal controls for safeguarding independence, conducting investigations, and overseeing data systems? 3) To what extent do CBP, ICE and TSA Offices of Professional Responsibility have processes to identify and implement disciplinary actions, as appropriate based on investigation outcomes?; and 4) How do CBP, ICE, and TSA measure the performance of their Offices of Professional Responsibility? Lead: OPR. Draft Report Issued: 06/06/2018. Due dates will be assigned to recommendations once we receive the final report.
  - **Recommendation 1:** Revise policy or guidance to ensure documentation of required control activities in its case management system, such as legal review of adverse actions, data verification, and recusal. (OPR/HRM)
  - **Recommendation 2:** Require staff to document investigative findings (e.g., whether an allegation is substantiated) in the case management system, and document and disseminate associated referral procedures for adjudication. (OPR/HRM)
  - **Recommendation 3:** Modify its annual self-inspection program to include evaluating and testing internal controls related to the employee misconduct process. (OPR)

- **Recommendation 4:** Monitor the duration of all cases beginning-to-end by stage and by case type. (OPR/HRM)
- **Recommendation 5:** Monitor the timeliness of misconduct cases according to established targets for management inquiries, administrative inquiries, and criminal and noncriminal investigations using case management system data. (OPR/HRM)
- **Recommendation 6:** Define and document the case management system data fields to be used for monitoring all established performance targets and provide related guidance to staff. (OPR/HRM)

- ~~FOUO.~~ **GAO 102150: Federal Protective Service.** Lead Office OPR. Objectives: 1) To what extent, if any, is FPS positioned to manage for results? 2) To what extent, if any, does FPS oversee daily operations to ensure desired results and establish accountability?; and 3) How might any changes to FPS' organizational structure affect FPS' ability to carry out its responsibilities? Lead: OPR. Notification Date: 07/06/2017. In Progress.

- ~~FOUO.~~ **GAO-18-26SU (100970): Progress of Personnel Security Reform Efforts.** Objectives: 1) To what extent has the Security, Suitability and Credentialing Performance Accountability Council made progress in reforming the security clearance process? 2) To what extent have executive branch agencies taken steps to develop, implement, oversee, and report metrics to ensure the quality of background investigations and adjudications for the personnel security clearance process?; and 3) To what extent does the National Background Investigations Bureau have an organizational structure and workforce plan in place to effectively manage its background investigation functions and roles? Lead Office: OPR. Status: Final Report Issued 12/07/2017. No Recommendations.

- ~~FOUO.~~ **OIG-18-51: DHS's Implementation and Management of the Homeland Security Presidential Directive 12 Program.** Objective: To assess DHS' implementation and management of the HSPD-12 program at selected components. Lead Office: OPR. Final Report Issued: 02/15/2018. No Recommendations.

- ~~FOUO.~~ **OIG-18-50: TSA's Sensitive Security Information Program.** Objective: To determine whether TSA is effectively managing its Sensitive Security Information (SSI) program and its use of the SSI designation. Lead Office: OPR. Final Report Issued: 02/12/2018. No Recommendations.

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August 8, 2018

MEMORANDUM FOR: Sam D. Grable
Chief Financial Officer

FROM: Rebekah A. Salazar
Executive Director, Pr (b) (6), (b) (7)(C)

SUBJECT: PDO FY18 Internal Control Assurance Statement

During Fiscal Year (FY) 2018, the Privacy and Diversity Office (PDO) evaluated systems of control for the programs and activities operating within PDO as well as systems of control for the U.S. Customs and Border Protection (CBP) national programs for which PDO has program oversight. Based on these evaluations, I can state with reasonable assurance that systems of control are adequate for the programs and/or activities listed below:

Program/Activity Reviews with No Significant Deficiencies

Freedom of Information Act (FOIA) - Comply with the Freedom of Information Act (Title 5 of U.S. Code, Section 552) to allow for the full or partial disclosure of previously unreleased information and documents in a manner consistent with E-government by developing and utilizing the strategies and procedures required by the Act.

- During SIP Cycle 2018, PDO conducted self-assessment activities of the FOIA program. No deficiencies were found.

FOIA FY18 STATISTICS – As of 8/4/18

- Number of FOIA requests received FY18 YTD: 76,200 (compared to 88,937 total FOIAs received in FY17).
- Number of FOIA requests closed FY18 YTD: 57,004 (compared to 88,937 total FOIAs closed in FY17).
- Total FOIA requests open: 21,106.

Civil Rights/Civil Liberties (CRCL)/Sexual Abuse/Assault, Prevention and Response (SAAPR) - Comply with all aspects of the Department of Homeland Security Civil Rights and Civil Liberties program and activities and implement the DHS Standards to Prevent, Detect, and Respond to Sexual Abuse and Assault in Confinement Facilities (Standards), by maintaining an aggressive program designed to prevent, deter, and respond to sexual abuse or assault of individuals in CBP custody, including holding facilities, during transport and processing.

- During SIP Cycle 2018, PDO conducted self-assessment activities of the Prevention and Response to Sexual Abuse and Assault SIP Worksheet. One non-significant and low-risk deficiency was found and correction item was identified.

Diversity/Inclusion and Equal Employment Opportunity - Implement Executive Order 13583 - *Establishing a Coordinated Government-wide Initiative to Promote Diversity and Inclusion in the Federal Workforce*; and the Federal Equal Employment Opportunity laws and regulations by developing and implementing comprehensive strategies and program management practices.

- During SIP Cycle 2018, PDO conducted self-assessment activities of the Diversity and Civil Rights program. No deficiencies were found.

FORMAL INVESTIGATION STATISTICS – As of 8/2/18

- PDO has processed 199 formal investigations.
- Of those investigations, 198 (or 99.5%) were processed timely

Privacy Act - Comply with all aspects of the Privacy Act of 1974 to govern the collection, maintenance, use, and dissemination of personal identifiable information (PII) maintained by CBP, by developing and implementing rigorous strategies and procedures.

- During SIP Cycle 2018, PDO conducted self-assessment activities of the Privacy program. No deficiencies were found.
- As of July 20, CBP's FISMA score is 98% (PIA) and 100% (SORN).
- As of July 20, 2018, there were 18 open privacy incidents and 78 closed FYTD.
- Privacy continues to research privacy incident trends to identify training/outreach needs.

Significant Internal Controls Activities and Accomplishments in FY 2018

FOIA Automation of Travel Records

FOIA worked with the OIT Analytical Framework for Intelligence (AFI) team to further automate travel FOIA requests. The AFI team migrated all data from E3 and is working with the OIT Border Enforcement & Management Systems (BEMS) team to pull all responsive records. Further coding adjustments are being made. A test site should go live by end of FY18.

Privacy Tracking System

Privacy developed and implemented a new internal case management and artifact tracking system to manage staff workload and ensure

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U.S. Customs and Border Protection

August 24, 2018

MEMORANDUM FOR: Samuel D. Grable (b) (6), (b) (7)(C)
Chief Financial C
Office of Finance

FROM: Bradley F. Hayes
Executive Directc
Office of Trade R

SUBJECT: Fiscal Year 2018 Office of Trade Relations Internal Control Assurance Statement

During Fiscal Year (FY) 2018, the Office of Trade Relations (OTR) evaluated the systems of controls for the programs and activities operating within our organization as well as the systems of controls for the U.S. Customs and Border Protection (CBP) national programs for which OTR has program oversight.

Section 1: Program/Activity Reviews with No Significant Deficiencies

Based on these evaluations, I can state with reasonable assurance that the system of controls are adequate for the programs and/or activities listed below:

- Management knowledge gained from internal assessments
- Self-Inspection Program (SIP) cycle results
- GAO or OIG audits and special reports
- Management Inspection Division (MID) Management Assurance Reviews (MAR)
- Financial Management Policy Manual (FMPM) compliance, if applicable

Section 2a: Financial Program/Activity Reviews with Significant Deficiencies

OTR had no financial or program deficiencies identified through a program/activity review. All inventory for ECC 1 assets maintained in the Firearms, Armor, and Credentials Tracking System (FACTS) were accounted for with a 100% accuracy rate.

Section 2b: Operational Program/Activity Reviews with Significant Internal Control Deficiencies

OTR had no deficiencies of an operational program nature identified from program/activity reviews.

Section 3: Response to Prior Year (FY 2017) CBP Assurance Statement Conditions

OTR has not taken any actions over the last year(s) in response to exceptions noted in the FY 2017 Consolidated CBP Assurance Statement.

Section 4: Significant Internal Control Activities and Accomplishments in FY 2018

The following significant internal control activities and accomplishments occurred in FY 2018:

- Implemented a new Trade Symposium Registration Tool to ensure CBP is compliant in protecting personally identifiable information (PII) by completing a Privacy Threshold Analyses (PTAs).

If you have any questions or need additional information, please feel free to contact (b) (6), (b) (7)(C) of my staff on (b) (6), (b) (7)(C)

DATE: August 15, 2018

MEMORANDUM FOR: Samuel D. Grable
Chief Financial Officer

FROM: (b) (6), (b) (7)(C) Chief of Staff
Intergovernmental Public Liaison, Office of the Commissioner

SUBJECT: Fiscal Year 2018 Intergovernmental Public Liaison (IPL) Internal Control Assurance Statement

During Fiscal Year (FY) 2018, Intergovernmental Public Liaison (IPL) evaluated the systems of controls for the programs and activities operating within our organization as well as the systems of controls for the U.S. Customs and Border Protection (CBP) Information Center (CIC) for which IPL has program oversight.

Section 1: Program/Activity Reviews with No Significant Deficiencies

Based on these evaluations, I can state with reasonable assurance that the system of controls are adequate for the programs and/or activities listed below:

- Self-Inspection Program (SIP) cycle results for the CBP Information Center:
  - Civil Rights and Civil Liberties
  - Diversity and Civil Rights
  - Major Acquisitions
  - Mandatory Employee Verification
  - Mandatory Supervisor Training
  - Occupational Safety & Health – All Offices
  - Occupational Safety & Health – Training
  - Personal Property Management
  - Physical Computer Security/Systems Access
  - Prevention and Response to Sexual Abuse and Assault
  - Privacy
  - Purchase Card Program
  - TECS/SEACATS
  - Time and Attendance

Section 2a: Financial Program/Activity Reviews with Significant Deficiencies

The evaluations did not identify any financial programs and/or activities with significant deficiencies within their systems of controls.

Section 2b: Operational Program/Activity Reviews with Significant Internal Control Deficiencies

The evaluations did not identify any operational programs and/or activities with significant deficiencies within their systems of controls.

Section 3: Response to Prior Year (FY 2017) CBP Assurance Statement Conditions

Intergovernmental Public Liaison did not have any contributions to exceptions reported on the FY 2017 CBP Annual Assurance Statement.

Section 4: Significant Internal Control Activities and Accomplishments in FY 2018

The following significant internal control activities and accomplishments occurred in FY 2018:

- The SIP cycle 2018 results for IPL revealed high levels of compliance in executing many functions supporting the CBP mission.

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U.S. Customs and Border Protection

August 23, 2018

MEMORANDUM FOR: Samuel D. Grable
Chief Financial Officer

FROM: Meghann K. Peterlin (b) (6), (b) (7)(C)
Executive Director
Policy Directorate
Office of the Commissioner

SUBJECT: Fiscal Year 2018 Policy Directorate Internal Control Assurance Statement

During Fiscal Year (FY) 2018, the Policy Directorate (PD) evaluated the systems of controls for the programs and activities operating within our organization as well as the systems of controls for the U.S. Customs and Border Protection (CBP) national programs for which PD has program oversight.

Section 1: Program/Activity Reviews with No Significant Deficiencies

PD participated in the FY 2018 Self Inspection Program cycle. PD analyzed the following areas and found no significant deficiencies:

- Conference Planning;
- Diversity and Civil Rights;
- Emergency Preparedness;
- Employee Separations;
- Mandatory Employee Verification;
- Occupational Safety & Health;
- Occupational Safety & Health Training;
- Occupational Safety & Health – Worker's Compensation;
- Personal Property Management;
- Physical Computer Security / Systems Access;
- Privacy; and
- Time and Attendance.

Based on these evaluations, I can state with reasonable assurance that the system of controls are adequate for the programs and/or activities listed below:

- Management knowledge gained from internal assessments
- Self-Inspection Program (SIP) cycle results
- Firearms, Armor, and Credentials Tracking System (FACTS)

Section 2a: Financial Program/Activity Reviews with Significant Deficiencies

Not applicable.

Section 2b: Operational Program/Activity Reviews with Significant Internal Control Deficiencies

Not applicable.

Section 3: Response to Prior Year (FY 2017) CBP Assurance Statement Conditions

Not applicable.

Section 4: Significant Internal Control Activities and Accomplishments in FY 2018

The following significant internal control activities and accomplishments occurred in FY 2018:

- Initiated a Policy Online Document Search (PODS) system modernization effort with OIT.

If you have any questions, please contact me or have a member of your staff contact (b) (6), (b) (7)(C) at (b) (6), (b) (7)(C)

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AUG 2 1 2018

U.S. Customs and Border Protection

MEMORANDUM FOR: Samuel D. Grable
Chief Financial Officer
Enterprise Se(b) (6), (b) (7)(C)

FROM: (b) (6), (b) (7)(C) Todd C. Owe
Executive As ner
Office of Fiel

SUBJECT: Fiscal Year 2018 Office of Field Operations
Internal Control Assurance Statement

During Fiscal Year (FY) 2018, the Office of Field Operations (OFO) evaluated the systems of controls for the programs and activities operating within our organization as well as the systems of controls for the U.S. Customs and Border Protection (CBP) national programs for which OFO has program oversight.

Audits

U.S. Government Accountability Office (GAO):

- Nonimmigrant Visa Security (GAO-18-104SU): The objectives were to determine: 1) how, if at all, do processes for conducting security screening and background checks for petition-based nonimmigrant visas (NIV) (e.g., K visas, H-1B visas) compare to other NIVs (e.g., B1/B-2 visas); 2) how are the Departments of Homeland Security (DHS) and State (State) considering using additional information to vet nonimmigrant applicants, and what is the status of these efforts; 3) to what extent has U.S. Immigration and Customs Enforcement's (ICE) presence at posts abroad through its Visa Security Program (VSP) improved the efficiency and effectiveness of State's NIV adjudication process; and 4) to what extent has U.S.-based interagency vetting, such as the National Counterterrorism Center's Kingfisher Expansion and DHS's Pre-Adjudicated Threat Recognition Intelligence Operations Team (PATRIOT) initiative, improved the efficiency and effectiveness of the NIV review process.

- CBP Public-Private Partnerships, Reimbursable Services Program (RSP) /Donations Accepted Program (DAP) / (GAO-18-268SU): The objectives were to evaluate: 1) the purposes for which CBP uses funds and donations from its public-private partnership agreements; 2) how CBP approves and administers public-private partnership agreements under RSP and DAP, and the benefits received and challenges faced, if any, by CBP and

its stakeholders in implementing these agreements; and 3) the extent to which CBP has processes in place to monitor and evaluate the implementation of these agreements.

Department of Homeland Security (DHS) Office of Inspector General (OIG):

- Review of CBP's January 2, 2017 System Outage (OIG 18-19): The objectives were to determine whether CBP's alternative efforts to process arriving international travelers at airports during the outage were effective; and whether CBP is taking sufficient steps to prevent similar system outages in the future.

- Review of CBP's FY 2017 Accounting of Drug Control Funding and Performance Summary (OIG-18-47/OIG-18-48): The objective was to determine whether management's assertions and performance information included in CBP's reports were reliable.

Inspections

Self-Inspection Program (SIP) Cycle 2018:

- *SIP Overview*: OFO Headquarters and Field Offices had 66 active self-inspection worksheets (SIW). The SIWs were distributed nationwide to all impacted OFO Headquarters and Field Offices resulting in the completion of 7,602 individual SIWs with an overall rate of compliance—92.40 percent.

- *SIP Results:*

  The following were SIWs associated with internal controls for which OFO had a compliance rate of less than 90 percent.

No.	SIW Name	Compliance Rate
1	Anti-Dumping/Countervailing Duties (AD/CVD)	72.73%
2	Body Armor	88.41%
3	Canine Enforcement Program	89.24%
4	Change Making Funds-Imprest Funds	82.93%
5	Civil Rights and Civil Liberties Executive Assistant Commissioners	75.00%
6	Customs-Trade Partnership Against Terrorism (C-TPAT)	82.68%
7	Employee Separations	86.55%
8	Fines, Penalties and Forfeitures	85.23%
9	Firearms/Less-Lethal Training and Use of Force	89.66%
10	Freedom of Information Act (FOIA)	89.71%
11	Major Acquisitions	81.95%
12	Mandatory Supervisory Training	80.46%
13	Occupational Safety and Health - Training	87.72%

14	Occupational Safety and Health Workers Compensation Injury Compensation Coordinator (ICC)	84.88%
15	Personal Search Policy (Air, Land, and Sea)	88.51%
16	Privacy	83.59%
17	Receipt and Acceptance of Ordered Goods and Services	80.80%
18	Uniform Allowance Account Management	42.96%

The following are SIWs associated with internal controls for which OFO had a high compliance rate, i.e., greater than 90 percent:

No.	SIW Name	Compliance Rate
1	Airport Security Program	92.81%
2	Awards	97.88%
3	Badges and Credentials	97.64%
4	Border Search Documentation	94.06%
5	Broker Licensing/ Compliance	93.52%
6	Cargo Control (Agriculture)	98.28%
7	Cargo Control – Bonded Facility	95.17%
8	CBPO – Enforcement Operational Plans – Warrant Service	100.00%
9	Civil Penalties (Agriculture)	91.18%
10	Clearance of Vessels (Agriculture)	100.00%
11	Collections and Deposits	95.83%
12	Conference Planning	100.00%
13	Confined Spaces	94.22%
14	Conveyance Arrivals	100.00%
15	Currency - Serially Numbered Forms	98.8%
16	Diversity and Civil Rights	97.62%
17	Drawback	100.0%
18	Emergency Preparedness (Field)	97.44%
19	Emergency Preparedness (Headquarters)	100.00%
20	Fleet Card Program	95.21%
21	Global Entry	94.02%
22	In-Bond	92.64%
23	Incident Report Log	96.61%
24	Information Technology Acquisition Review – Executive Assistant Commissioners	100.00%
25	Land Border Directive	98.18%
26	Mandatory Employee Verification	96.31%
27	NEXUS Program Automation for Passengers	93.79%
28	Occupational Safety and Health (All Offices)	91.09%
29	Occupational Safety and Health (Cargo)	95.04%

30	Occupational Safety and Health (Selected Offices)	96.24%
31	Outbound Enforcement Operations	98.53%
32	Passenger Analysis Units (Air/Sea)	96.52%
33	Personal Property Management	90.30%
34	Pest Exclusion (Agriculture)	99.03%
35	Physical Computer Security/Systems Access	99.61%
36	Prevention and Response to Sexual Abuse and Assault Detention and Facilities	97.59%
37	Primary Lookout Over-Ride	90.91%
38	Purchase Card Program	96.24%
39	Secure Detention, Escort and Transport at Ports of Entry	95.49%
40	Seized Property Management – Seizures	93.63%
41	Seized Property Management – Vaults	61.69%
42	SENTRI Program Automation for Passengers	93.85%
43	Small Vessel Reporting	93.00%
44	TECS/SEACATS	95.63%
45	Time and Attendance	97.30%
46	Travel Card Program	94.81%
47	Vehicle Management	92.57%
48	Workers Compensation	98.65%

Management Assurance Reviews (MARs):

- *MARs Overview*: MID conducted 15 MARs. The objective of the MARs were to assist OFO with improving its compliance with CBP policies and procedures, its effectiveness, and operational efficiency. The scope of these MARs presented an assessment of the core management responsibilities and activities that were most susceptible to non-compliance, especially in the areas of financial, technological, and physical vulnerabilities.

  The following OFO MARs were conducted:

No.	Report Number	Title
1	MID-17-082	MAR-OFO Miami Airport
2	MID-17-083	MAR-OFO Miami Seaport
3	MID-17-087	MAR-OFO Port of Douglas
4	MID-18-002	MAR-OFO Director Field Operations, Los Angeles
5	MID-18-003	MAR-OFO Port Everglades and Fort Lauderdale International Airport
6	MID-18-004	MAR-OFO Buffalo C-TPAT Field Office
7	MID-18-007	MAR-OFO Houston CTPAT Field Office
8	MID-18-101	(b) (7)(E)

9	MID-18-105	MAR-OFO Progreso Port of Entry
10	MID-18-107	MAR-OFO Area Port of Marcelina Serna Tornillo
11	MID-18-110	MAR-OFO Orlando Area Port
12	MID-18-111	MAR-OFO Port of Presidio
13	MID-18-112	MAR-OFO Port of Newark
14	MID-18-113	MAR-OFO NTC
15	MID-18-124	MAR-OFO Area Port of Boston

- *MAR Results--Significant MAR Findings for OFO by Subject Area:*
  - *Accountability of Firearms, Body Armor and Ammunition*: Common findings included management should ensure that the expired body armor is replaced and that body armor policy is reiterated to all employees and supervisors.
  - *Fleet Card/Vehicle Management*: Findings of non-compliance included purchases of fleet maintenance and repairs rendered prior to approval and/or Fleet Card Transaction worksheet (DHS Form 1502) were not properly completed. Additionally, Electronic Data Interchange System invoices were not accepted and certified timely in Systems Applications and Products System.
  - *Emergency Preparedness and Safety Planning*: Common findings included annual Continuity of Operations Plan and/or quarterly Occupant Emergency Plan (OEP) evacuation drills or exercises were not being conducted at least semi-annually, and OEP was incomplete or not updated.

Self-Inspection Program (SIP) Validation Inspection:

- *SIP Validation Inspection Overview:* MID conducted 17 SIP Validation. The objective of the SIP Validation Inspection was to ensure OFO was in compliance with existing CBP management controls, oversight responsibilities, and requirements to promote effective and efficient accomplishment of the CBP mission. The scope of the SIP Validation Inspection results served as data from which CBP senior managers identified systemic weaknesses or vulnerabilities that needed correction at the policy or procedural level.

  The following OFO SIP Validation Inspections were conducted:

No.	Report Number	Title
1	MID-17-081	SIP-OFO Port of Brunswick-Cycle 2017
2	MID-17-085	SIP-OFO Port of Atlanta-Cycle 2017
3	MID-17-086	SIP-OFO Atlanta Field Office-Cycle 2017
4	MID-18-097	SIP-OFO Port of Lukeville-Cycle 2017
5	MID-18-099	SIP-OFO Area Port of Phoenix-Cycle 2017
6	MID-18-102	SIP - OFO Port of Roma-Cycle 2017
7	MID-18-103	SIP-OFO Port of Brownsville-Cycle 2017

8	MID-18-104	SIP-OFO Port of Rio Grande City-Cycle 2017
9	MID-18-116	SIP-OFO Area Port of Calexico-Cycle 2018
10	MID-18-117	SIP-OFO Port of San Luis-Cycle 2018
11	MID-18-118	SIP-OFO Port of Andrade-Cycle 2018
12	MID-18-120	SIP-OFO Area Port of Port Huron-Cycle 2018
13	MID-18-125	SIP-Area Port of Norfolk-Cycle 2018
14	MID-18-126	SIP-Port of Richmond-Petersburg-Cycle 2018
15	MID-18-133	SIP-OFO Port of Roosville-Cycle 2018
16	MID-18-136	SIP-OFO New York Field Office-Cycle 2018
17	MID-18-137	SIP-OFO Port of JFK-Cycle 2018

- *Significant SIP Validation Inspection Findings for OFO by Subject Area:*

  - *Accountability of Firearms, Body Armor and Ammunition:* Common findings included management should ensure that the expired body armor is replaced and that body armor policy is reiterated to all employees and supervisors.

  - *Employee Separations:* Common findings included management should ensure the CBP Form 241 is completed accurately in accordance with CBP Directive 51715-005D, *Separation Procedures for CBP Employees* and CBP Form 241, *Separation Clearance Instructions*. Provide additional training to supervisors and responsible employees to ensure that all are aware of these requirements.

  - *Occupational Safety and Health – Workers' Compensation (ICC):* Findings of non-compliance included failure to investigate occupational injuries/illnesses sustained by employees could result in unsafe conditions persisting in the workplace that place employees at continued risk for injury or illness. Local procedures did not ensure that occupational injuries/illnesses sustained by employees are investigated by supervisors within 48 hours of notification and/or the investigation was not properly annotated on the CBP Form 502, Safety Investigation Data Form.

Section 2a: Financial Program/Activity Reviews with Significant Deficiencies

CBP Internal Crosswalk of issues with Key Financial Risk:

- Drawback Payments: CBP's Automated Commercial System (ACS) had inherent limitations in detecting and preventing excessive drawback claim payments. The Trade Facilitation and Trade Enforcement Act (TFTEA) of 2015, signed into law on February 24, 2016, provided significant enhancements to the drawback laws under 19 USC 1313. Planned Automated Commercial Environment (ACE) deployments will further operationalize the provisions in the TFTEA and help CBP address longstanding weaknesses related to drawback payments, while (1) streamlining drawback processes for both CBP and the Trade, and (2) aiding in revising document retention requirements.

  Until the legislative changes and system improvements are realized, CBP expects Drawback controls to remain a significant deficiency. GAO initiated an audit entitled: "Drawback Modernization (102583)" in response to a congressional mandate in section 906 of the TFTEA, but advised on May 2, 2018 that GAO has suspended the review until the regulatory process has advanced.

- Revenue and Receivable Management (Entry Revenue): Deficiencies existed in various areas, including bond sufficiency and entry edit/exception reporting. In addition, a FY 2017 GAO report entitled: "Foreign Trade Zones: CBP Should Strengthen Its Ability to Assess and Respond to Compliance Risks across the Program" (GAO-17-649), identified weaknesses in CBP's monitoring of the Foreign Trade Zone (FTZ) program.

  Specifically, CBP does not centrally compile FTZ compliance and enforcement information to analyze and respond to compliance and internal control risks across the program. Weaknesses in controls in reviewing and validating bond sufficiency, monitoring of FTZs, and running and reviewing entry edit/exception reports could impact CBP's ability to be aware of all items entering the U.S. commerce and collect all revenues owed.

  GAO issued final report GAO-17-649 with three recommendations to which OFO concurred. OFO will collect data to conduct the risk analysis across the FTZ program and will draft and finalize a compliance review handbook for the Automated Commercial Environment (ACE) that incorporates the updated risk assessment tools and best practices for FTZ compliance review and risk categorization by March 31, 2019.

- Property Management: CBP's monitoring and oversight procedures for internal use software (IUS), including evidence of management reviews, are not sufficient to verify project costs are accurately classified into appropriate phases (e.g., design, development, and operations and maintenance) prior to being capitalized or expensed. This increases the risk that IUS costs may not be recorded accurately. Additional deficiencies related to seized and forfeited property, including a lack of review of seizure information entered into SEACATS to identify and investigate abnormal balances prior to inclusion in the footnote disclosure, increase the risk that not all seized and forfeited property is recorded

completely, at the correct value/volume, or is not properly disclosed in the financial statements. OFO is participating in the DHS OIG audit entitled: "DHS' Use and Oversight of Administrative Asset Forfeiture in Accordance with Applicable Law and Policy" (18-104-AUD-USCG-CBP-ICE-USSS), with the objectives to determine whether DHS uses administrative seizure and forfeiture authorities as intended by law and policy and DHS has adequate controls and oversight to prevent the abuse of administrative asset forfeiture authority.

- Core Financial Systems: CBP's ACS does not maintain trade receivable activity at the transaction level. This issue will be addressed by an ongoing initiative to refactor or replace ACS with a revenue management system that enables CBP to collect, deposit, and report revenue. The systems maintaining CBP's aircraft and marine spare parts inventories do not report addition and usage activity at the transaction level. OFO is participating in DHS OIG audit entitled: "CBP's Investigation and Revenue Collections Processes for Importer Fraud" (17-022-AUD-CBP) with the objective to determine whether CBP and Homeland Security Investigations have established controls to identify and collect revenue from non-compliant high-risk trade activities. OFO continues to work with Office of Trade and Enterprise Services, Office of Information and Technology to address this deficiency finding through updates in the ACE, which replaced ACS.

- Overtime Pay Cap Monitoring: CBP lacks consistent, agency-wide oversight of employees' overtime earnings. The DHS Appropriations Act established an overtime pay cap, which prohibits any CBP employee from receiving overtime compensation in excess of $45,000 in a fiscal year without prior authorization (this limit was $35,000 prior to FY 2017). Exceeding the cap without authorization may be considered a violation of the Anti-Deficiency Act (ADA).

  DHS is currently conducting an investigation regarding a potential violation of the ADA in FY 2015 and FY 2016 that CBP reported as a result of nine employees whose overtime earnings exceeded the overtime pay cap established by DHS appropriations law without authorization. DHS will determine whether an ADA violation has occurred.

  MID conducted an inspection entitled: "CBP's Internal Control on Overtime Pay Caps" (MID-18-095) and issued a final report with six recommendations, on January 8, 2018. The following recommendations impacted OFO: 1) regularly monitor the overtime earnings of those employees previously granted waivers to ensure they are not paid in excess of the new statutory overtime cap indicated on their approved waivers; 2) ensure payroll monitoring includes all employees in the organization; and 3) once the CBP-wide overtime directive and SOP have been implemented, develop an office-wide policy governing overtime.

If we can be of further assistance, please contact me, at (b) (6), (b) (7)(C) or have a member of your staff contact Executive Director Colleen M. Manaher, Planning, Program Analysis, and Evaluation, at (b) (6), (b) (7)(C)

1300 Pennsylvania Avenue NW
Washington, DC 20229

U.S. Customs and Border Protection

AUG 24 2018

MEMORANDUM FOR: Samuel D. Grable
Chief Financial Office

(b) (6), (b) (7)(C)

FROM: Edward E. Young
Executive Assistant C
Air and Marine Operat

SUBJECT: Fiscal Year 2018 Air and Marine Operations Internal Control Assurance Statement

During Fiscal Year (FY) 2018, Air and Marine Operations evaluated the systems of controls for the programs and activities operating within our organization as well as the systems of controls for the U.S. Customs and Border Protection (CBP) national programs for which Air and Marine Operations has program oversight.

Section 1: Program/Activity Reviews with No Significant Deficiencies

Based on these evaluations, I can state with reasonable assurance that the system of controls are adequate for the programs and/or activities listed below:

- Self-Inspection Program Fiscal Year 2018 cycle results
- GAO-18-339, "Homeland Security Acquisitions: Leveraging Programs' Results Could Further DHS's Progress to Improve Portfolio Management"
- GAO-18-344, "DHS Program Costs: Reporting Program-Level Operations and Support Costs to Congress Would Improve Oversight"
- MID-18-095-FA, "Limited Review: U.S. Customs and Border Protection Internal Controls on Overtime Pay Caps"

Section 2a: Financial Program/Activity Reviews with Significant Deficiencies

- **Core Financial Systems** – Air and Marine Operations aircraft and vessel asset management systems are still not in compliance with the Federal Financial Management Information Act (FFMIA) requirement. The "Items Held for Use" inventory transactions in the Computerized Aircraft Reporting and Material Control System (CARMAC), and the Customs Automated Maintenance and Inventory Tracking System (CAMITS), are still not integrated with Systems, Applications, and Products (SAP). Remediation efforts include the following actions:
    - The Department of Homeland Security has purchased MAXIMO/MAXIMO for Aviation (MFA) to replace CARMAC. We intend to leverage current Office of

Information and Technology (OIT) license availability and "purchase" the Aviation module and SAP plug-in.

- MAXIMO has a SAP interface module that can be configured to satisfy the financial system requirements. Our intent is to use the SAP interface and the program team is working with the Office of Finance ensure that MFA satisfies the FFMIA requirements. MFA configuration release 1.0.3 internal testing is complete and moved to System Acceptance Test (SAT) and ready for User Acceptance Test (UAT). Release 1.0.4 is being applied to TEST. Work continues on Jira tasks toward 1.0.4.
- MFA conducts quarterly Program Management Reviews (PMR) to report on the current status, any issues, and the way forward. The next PMR is tentatively scheduled for September 2018.
- It will take at least a year to configure and fully implement MFA and the SAP interface module. We have decided to leverage OIT's existing MAXIMO instance and licenses. That decision should result in reducing the time required to implement MAXIMO. MFA is scheduled to roll-out out a Phase I release in the first quarter or early or early second quarter of Fiscal Year 2019.

Section 2b: Operational Program/Activity Reviews with Significant Internal Control Deficiencies

- **Unit Maintenance Inspection (UMI)** – UMIs conducted this fiscal year follow pre-established inspection protocols to verify compliance with CBP policies and procedures in the areas of maintenance, record keeping, and safety practices. Inspections were conducted at 17 branches with 17 reports of findings issued to those branches. Of those branches inspected, only three have completed the reports and closed out their findings. Due to the high volume of branches that the UMI team is tasked to inspect, it is difficult to keep up with the points of contact at each branch to complete the reports in a timely manner. Currently, there is no automated system that can be updated as findings are remedied and then reviewed by the program manager at headquarters to monitor each branches progress. Such a system could aid the program managers and points of contact with keeping up with remedies and closing out required reports in a timely manner.

Section 3: Response to Prior Year (FY 2017) CBP Assurance Statement Conditions

Air and Marine Operations contributed to exceptions reported on the FY 2017 CBP Annual Assurance Statement and took the following actions to remediate the control exceptions:

- **Overtime Pay Cap Monitoring** – Air and Marine Operations monitors the consumption of overtime and premium pay through the following mechanisms:

    1. After receipt of an enacted budget, the Operations staff at Headquarters distributes to Air and Marine Operations field personnel an overtime and premium pay allocation for the fiscal year.
        a. The Office Standing Report which includes this data is updated after each pay period and disturbed to the field.

   b. Any overages in consumption by one office over another are handled at the regional level.
   c. Increase and/or decrease to allocations are requested and approved by Headquarters in advance of consumption.
2. In addition to the Office Standing Report, overtime reports that identify the consumption of overtime by individual employees are distributed to offices after each pay period.
   a. These reports provide a projection of whether an employee is likely to exceed any pay caps based on prior consumption and trending forward.
   b. Any anomalies in the data are highlighted and brought to the attention of the regions to address and correct.
3. Furthermore, in accordance with Air and Marine Operations Policy 230.02, "Waiver of Overtime Pay Limitations," personnel who anticipate that they may exceed the internal $35,000 overtime limitations policy must submit a waiver to the Executive Assistant Commissioner seeking approval in advance of breaching any Air and Marine Operations-imposed pay or statutory limitations.

Section 4: Significant Internal Control Activities and Accomplishments in FY 2018

The following significant internal control activities and accomplishments occurred in FY 2018:

- **Safety Management System (SMS)** – In January, Executive Assistant Commissioner Edward Young signed the SMS Policy Statement. This included an SMS manual that combines the very best safety practices that have proven effective across diverse organizations and industry. Approximately 80 percent of Air and Marine Operations Executive Directors and Directors have received SMS training. A mobile team has begun training first-line supervisors, standardization instructors, and operations personnel.

- **Unit Inspections (UI)** – UIs conducted this fiscal year follow pre-established inspection protocols to verify compliance with CBP policies and procedures in the areas of safety, training, standards, and tactics. Inspections were conducted at seven branches. Three of the UI's are complete with a formal report submitted. The remaining four are pending a formal report. Upon completion of the UIs a trend was observed in Tactics in regards to the use of FACTS, Firearms, armor, and credentials tracking system. FACTS is a system that allows instructors such as Firearms Instructors and Less Lethal Instructors to input and track required quarterly training for each agent to show currency and proficiency in all facets of tactics training. The findings by the inspectors is that instructors are not inputting the training results into the FACTS program in a timely manner or sometimes not at all. This also includes waivers for agents that are on military leave or injured that cannot maintain qualifications. It has been determined that the primary cause is the lack of primary training an instructor receives on the FACTS program and the lack of follow up training on the program as FACTS is updated. It may be beneficial to require a more in-depth training section of FACTS while at initial tactics training as well as recurrent training. This would include making it mandatory for tactics instructors to stay up to date with the system through online training in PALMS.

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U.S. Customs and Border Protection

MEMORANDUM FOR: Sam D. Grable
Chief Financial Officer

FROM: Brenda B. Smith (b) (6), (b) (7)(C)
Executive Assista
Office of Trade

SUBJECT: Fiscal Year 2018 Office of Trade Internal Control Assurance Statement

During Fiscal Year (FY) 2018, the Office of Trade (OT) evaluated the systems of controls for the programs and activities operating within our organization as well as the systems of controls for the U.S. Customs and Border Protection (CBP) national programs for which Office of Finance (OF) has program oversight. Based on these evaluations, I can state with reasonable assurance that the system of controls are adequate for the programs and/or activities listed below:

- Management knowledge gained from internal assessments.
- Self-Inspection Program (SIP) cycle results.
- Government Accountability Office (GAO) or Office of Inspector General (OIG) audits;
- CBP system access as it relates to separating employees and Personal Identity Verification (PIV) cards.
- OT has adequate controls in place over Government Charge Card and conference-related activities based on the 2018 self-inspection results.
- Asset Management – 2018 Inventory for High-Risk/Sensitive Property. All property (100 percent) was accounted for and any lost property was reported to the Board of Survey as required.
- Financial Management Policy Manual (FMPM) compliance, if applicable.
- Regulatory Audit and Agency Advisory Services (RAAAS) completed the SIP of RAAAS Headquarters and Field Office policies, procedures, processes, and functions for FY 2017 and identified minimal deficiencies that required corrective actions (details are described below).
- RAAAS is conducting a Continuing Professional Education (CPE) evaluation of training hours completed during calendar years 2016 and 2017 to determine if RAAAS's training program ensures that each auditor met their Generally Accepted Government Auditing Standards (GAGAS) and organizational training requirements. RAAAS expects this review to be completed by August 31, 2018.

The evaluations also identified programs and/or activities with systems of controls that are adequate with the exception of the conditions identified below:

- SIP Cycle 2018: There were 18 corrective actions required for Headquarters, Boston, Houston, San Francisco, and Miami Field Offices; and Buffalo, Minneapolis, Fort Mitchell and Dallas Branch Offices. Of the 18 corrective actions, 12 of the actions were remedied and closed. The remaining six corrective actions are expected to be remedied and closed by August 31, 2018 and are summarized as follows:
    - Houston Field Office did not create separation requests using CBP Employee Separation link for two individuals; and
    - The remaining five corrective actions are related to RAAAS training.
- Management Assurance Review, Atlanta Field Office (AFO), dated August 30, 2017 (MID-17-084): There was one finding for CBP Form 241 – Separation Clearance not completed properly. The corrective action was to ensure these forms were completed properly in the future and to provide additional training to supervisors and responsible employees to ensure that all are aware of the requirements. Relevant training was conducted on September 5, 2017 to close out this corrective action, and communicated to the Chief Accountability Officer (CAO), Office of Administration (OA) on October 16, 2017.
- OT contributed to exceptions reported on the FY 2017 CBP Annual Assurance Statement and took the following actions to remediate the control exceptions:
    - Drawback Payments: CBP has transitioned drawback processing from a paper-based Automated Commercial System (ACS) process to Automated Commercial Environment (ACE) to bolster the agency's ability to prevent over-refunding of drawback claims and to simplify drawback processing. The enactment of the Trade Facilitation and Trade Enforcement Act (TFTEA) of 2015 provides CBP two years to transition and implement all of the drawback provisions contained within its guidelines. On February 24, 2018, CBP deployed the drawback capabilities providing CBP with enhanced financial controls over drawback claims. Recommend closing out this issue.
    - Core Financial Systems: CBP's ACS does not maintain trade receivable activity at the transaction level. This issue will be addressed by an ongoing initiative to refactor or replace ACS with a revenue management system that enables CBP to collect, deposit, and report revenue. CBP continues to make progress toward replacing the existing systems. Recommend this issue be transferred to OF.
    - Revenue and Receivable Management: Tests of design performed over Revenue and Receivable Management functions yielded some deficiencies in separate areas, including debit vouchers processing, sufficiency of single transaction bonds and continuous bonds, revenue suspense account (BCA), and standard operating procedures for debit voucher processing and the BCA weekly report. Tests of operational effectiveness were not performed due to the test of design deficiencies identified and ongoing ACE implementation; however, Financial Management Division (FMD) performed a reconciliation between ACS and SAP to provide reasonable assurance that revenue collections processes in ACS are accurately and completely posted to their

corresponding Revenue general ledger accounts in SAP. Recommend this issue be transferred to Office of Information and Technology (OIT) and/or OF.

The following significant internal control activities and accomplishments occurred in FY 2018:

- Implemented monthly budget brief with the Deputy Executive Assistant Commissioner (DEAC) and Executive Directors (XDs) to report changes in pay, non-pay, and reimbursable funding for Office of Trade.
- Monitored budget transactions and balances and participated in periodic budget tag-ups with the OF Budget Directorate.
- Provided oversight over fleet car mileage and fleet card transactions ensuring and validating that charges are appropriate.
- Provided oversight on purchase card transactions to ensure that all requirements were met and all required approvals were obtained.
- Met monthly with the Office of Human Resources Management (HRM) to ensure that hiring data is consistent and that there is adequate funding to support pay for Office of Trade staff.
- Monitored travel via CONCUR and SAP to ensure that all travel authorizations and vouchers were processed as required.
- Processed all training forms via a training email inbox to ensure that all required forms and approvals were obtained and adequate funding was available.
- RAAAS initiated a pilot project to restructure its Internal Quality Assurance Reviews. The goal of the project is to introduce a collaborative approach between Headquarters and the Field Offices to facilitate a timely and transparent methodology which will ensure continued compliance with GAGAS and current RAAAS policy.
- RAAAS continues to administer the Field Quality Assurance Program (FQAP) for all audit assignments. This program functions as a cooperative effort between Headquarters and the Field Offices to ensure audits are conducted in accordance with GAGAS and current RAAAS policy.
- RAAAS completed a realignment which introduced a 6:1 reporting structure ratio in all Field Offices designed to absorb TFTEA-driven increased workflow and audit complexities. RAAAS also introduced ten new quality assurance positions located in each Field Office to increase operating effectiveness.

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U.S. Customs and Border Protection

MEMORANDUM FOR: Samuel D. Grable
Chief Financial Officer
Office of Finance
(b) (6), (b) (7)(C)

FROM: (b) (6), (b) (7)(C) nda L. Jacksta
eputy Executive Assist
perations Support

SUBJECT: Fiscal Year 2018 Operations Support Internal Control Assurance Statement

During Fiscal Year (FY) 2018, Office of Operations Support (OS) evaluated the systems of controls for the programs and activities operating within our organization, as well as the systems of controls for the U.S. Customs and Border Protection (CBP) national programs for which OS has program oversight.

Section 1: Program/Activity Reviews with No Significant Deficiencies

Office of Intelligence

Based on these evaluations, I can state with reasonable assurance that the system of controls are adequate for the programs and/or activities listed below:

- The FY 2018 Self-Inspection Program (SIP) areas identified for completion. Major areas Office of Intelligence (OI) reviewed include:
  - Awards;
  - Badges and Credentials;
  - Body Armor;
  - Conference Planning;
  - Diversity and Civil Rights;
  - Emergency Preparedness – Headquarters;
  - Employee Separations;
  - Firearms/Less-Lethal Training and Use of Force;
  - Fleet Card Program;
  - Information Technology Acquisition Review (ITAR) – Assistant Commissioners;
  - Major Acquisitions;
  - Mandatory Employee Verification;
  - Mandatory Supervisory Training;
  - Occupational Safety & Health – All Offices;
  - Occupational Safety & Health – Training;

- Occupational Safety & Health – Worker's Compensation (ICC);
- Personal Property Management;
- Physical Computer Security/Systems Access;
- Privacy;
- Purchase Card Program;
- Receipt and Acceptance of Ordered Goods and Services;
- TECS/SEACATS;
- Time and Attendance;
- Travel Card Program;
- Uniforms Management;
- Vehicle Management; and
- Workers' Compensation.

- During the 2018 Cycle, OI managers in Headquarters and field office locations conducted self-assessment activities performing, certifying, and/or approving the results of office self-inspections. OI completed a total of 55 self-inspection worksheets containing a total of 202 questions. The question compliance rate was 91.05%. To date, five (5) worksheets with 15 questions are pending corrective actions by August 31, 2018.
- The evaluations identified programs and/or activities with systems of controls that are adequate, with the exception of the conditions identified below:
  - Employee Separations – The SIP report indicated a deficiency in ensuring that supervisors created separation requests using the CBP Employee Separations link under Employee Services. To remediate this finding, on February 14, 2018, OI participated in a training session with HRM on the CBP Separation Process. The activity is pending completion by August 31, 2018.
  - Mandatory Supervisory Training – The SIP report indicated a deficiency in the following areas below:
    - Ensuring that all new, permanent supervisors and managers who have reached their 18-month anniversary of their appointment during the review period complete the appropriate mandatory leadership training. To remediate this finding, OI will provide additional guidance and awareness for managers and new supervisors on the training requirements. This activity is pending completion by August 31, 2018.
    - Ensuring that all new, permanent supervisors and managers who reached their 18-month anniversary of their appointment during the review period and NOT complete the mandatory training received an approved waiver from a CBP Division Director or equivalent. To remediate this finding, OI will provide training to the Division Directors or equivalent on the waiver requirements. The activity is pending completion by August 31, 2018.
    - Ensuring that all permanent supervisors and managers (beyond their 18-month probationary period) complete the required 12 hours of continuous learning plus 12 hours of give-back activities during the inspection cycle. To remediate this finding, OI will notify the supervisors and managers of the annual requirements. The activity is pending completion by August 31, 2018.
  - Occupational Safety & Health – Training – The SIP report indicated a deficiency in the following areas below:

- Ensuring all Supervisors complete the HRM/OSH Division sponsored Supervisor Safety Training (SST) or acceptable substitute. To remediate this issue, OI will issue recurring notifications to OI supervisors and managers to ensure completion of the required Performance and Learning Management System (PALM) training. This activity is pending completion by August 31, 2018.
- Ensuring that members of the Safety Committee that services the reporting location have been appropriately trained for their roles as committee members. To remediate this finding, OI is working with the assigned Safety Officer to identify appropriate steps to join the existing safety committee structure. This activity is pending completion by August 31, 2018.

- Purchase Card Program – The SIP report indicated a deficiency in the following areas below. Part of this deficiency is collecting supporting documentation from the Purchase card holders. These issues are currently under remediation.
  - Obtaining 3rd party inspection and acceptance for all purchases with the purchase card.
  - Including records (i.e. DHS Form 1501, sale slips, shipping receipts, order confirmations, email approvals) as supporting documentation.
  - Ensuring purchases were made in accordance with established policies and guidelines governing the use of the purchase card.
  - Ensuring that convenience checks were used only when a vendor would not accept payment via the purchase card.
  - Ensuring that the monthly statements that were reconciled by the Cardholder (or the Approving Official in the Cardholder's absence) were approved by the Approving/Alternate Approving Official by the 26th of each month.
  - Ensuring that for any disputed item identified during the reconciliation of the monthly statement that the Cardholder disputed the transaction with the Card Issuing Bank within 90 calendar days of receipt of the statement.
  - Ensuring that for $10K Cardholders, that the required additional information was provided on the PCPO to support purchases over $3,500 up to $10,000.
- Travel Card Program - The SIP report indicated a deficiency in the following areas below:
  - Ensuring the Manager review and sign the CBP Travel Card Review Checklist on a quarterly basis. After OI's primary Travel Card Point of Contact (POC) departed from OI, there was a significant gap in the travel roles and responsibilities. To remediate this finding, OI transferred the Travel Program to a new POC, who will begin the process in correcting this requirement going forward. This activity is pending completion by August 31, 2018.
  - Ensuring that LPCs report abuse and misuse of travel cards (including delinquencies of more than 30 days) to appropriate management officials. To remediate this finding, OI transferred the Travel Program to a new

POC, who will begin the process in correcting this requirement going forward. This activity is pending completion by August 31, 2018.

- GAO Review – "Threat of Chemical Terrorism." This is a GAO review on what extent DHS (1) has policies, procedures, organizations, programs, and activities focused on preventing, protecting, preparing for, responding to, and recovering from attacks using chemicals or chemical warfare agents; (2) does to assess the adequacy of its chemical defense mission and efforts and how does DHS address any gaps, such as resource or technological constraints, or response capability; and (3) how a proposed reorganization of DHS headquarters activities affect DHS' chemical mission and efforts. A final report has yet to be made.
- OIG Review – "DHS Insider Threat Operations Center for Unclassified DHS Systems and Networks." This is an OIG review to determine whether the DHS Office of the Chief Security Officer has effectively implemented a Department-wide capability to monitor, detect, and respond to malicious insider threat activities on unclassified DHS systems and networks. The Office of Information and Technology is currently taking the lead for this review.
- OIG Review – "DHS Use of Covert Vulnerability Assessments." This OIG review is to help OIG better understand DHS' overall risk environment for covert vulnerability testing. Specifically, OIG is looking for all offices within DHS components and programs that conduct covert vulnerability assessments of their employees, operations, and processes under live circumstances. A final report has yet to be made.
- OIG Review – "Effectiveness of CBP Covert Testing Program." This OIG review is to determine whether CBP's covert testing is identifying vulnerabilities with ports of entry and whether CBP is using the results to address the identified vulnerabilities. A final report has yet to be made.

Law Enforcement Safety and Compliance Directorate

Based on these evaluations, I can state with reasonable assurance that the system of controls are adequate for the programs and/or activities listed below:

- Management knowledge gained from internal assessments
- GAO or OIG audits and special reports
- Self-Inspection Program (SIP) cycle results
    - Awards
    - Badges & Credentials
    - Body Armor
    - Diversity and Civil Rights
    - Employee Separations
    - Firearms/Less-Lethal Training and Use of Force
    - Fleet Card Program
    - Major Acquisitions
    - Mandatory Employee Verification
    - Mandatory Supervisory Training
    - Occupational Safety & Health
    - Physical Computer Security/ System, Access
    - Purchase Card Program
    - TECS/ SEACATS

- Time & Attendance
- Travel Card Program
- Uniform Management
- Vehicle Management

Information and Incident Coordination Center
Based on these evaluations, I can state with reasonable assurance that the system of controls are adequate for the programs and/or activities listed below:

- Management knowledge gained from internal assessments
- Self-Inspection Program (SIP) cycle results
- GAO or OIG audits and special reports
- Awards
- Firearms Armor, and Credential Tracking System (FACTS)

Laboratories and Scientific Services
Based on these evaluations, I can state with reasonable assurance that the system of controls are adequate for the programs and/or activities listed below:

- Management knowledge gained from internal assessments
- Self-Inspection Program (SIP) cycle results
- (b) (7)(E)
- American Society of Crime Lab Directors (ASCLD) Certification for Management, Operations and Reporting
- International Standards Organization Certification for Management, Operations and Reporting

International Affairs
Based on these evaluations, I can state with reasonable assurance that the systems of controls are adequate for the programs and/or activities listed below:

- FY 2018 Self-Inspection Program (SIP) cycle results
- GAO or OIG audits and special reports

Planning, Analysis & Requirements Evaluation
Based on these evaluations, I can state with reasonable assurance that the system of controls are adequate for the programs and/or activities listed below:

- Awards
- Firearms and Use of Force
- Personal Property Management
- Self-Inspection Program (SIP) cycle results
- (b) (7)(E)
- Physical Computer Security/Systems Access
- Timekeeping

- GAO Review
- Travel card program

Section 2a: Financial Program/Activity Reviews with Significant Deficiencies

Office of Intelligence
OI did not identify Financial Programs/Activity Reviews with significant deficiencies.

Law Enforcement Safety and Compliance Directorate
The evaluations also identified financial programs and/or activities with systems of controls that are adequate but had exceptions as described below:

- Asset Management – The FY 2018 inventories for High Risk/Sensitive property, while continuing to show improvement, did not meet the Department of Homeland Security (DHS) goal of 100 percent accounting for Equipment Control Class 1 (ECC 1) assets. ECC 1 assets are defined as assets that, if lost, could result in loss of life and/or critical mission impairment. This includes items that are dangerous or hazardous, law enforcement credentials, and classified or sensitive information. ECC 1 assets have a zero percent loss tolerance; CBP's rates do not meet the Department's target of 100 percent. The inventory accuracy rate for ECC 1 assets maintained in the Firearms, Armor, and Credentials Tracking System (FACTS) was 99.85 percent, and the Law Enfrocement Safety and Compliance (LESC) inventory accuracy rate for ECC 1 assets maintained in SAP CBP's financial system of record was 100 percent. CBP met all other DHS ECC accountability requirements with the exception of the noted. At the beginning of FY 2018 CBP had 252,119 high risk/sensitive ECC 1 assets accounted for in FACTS. To date (July 27, 2018) the following CBP ECC 1 assets have been lost or stolen:
  - Admission Stamps: 73
  - Badges: 163
  - Credentials: 111
  - Firearms: 24
  - Suppressors: 2

- GAO-102139, Review on Firearms, Ammunition and Tactical Equipment Purchases: LESC spearheads this effort for CBP and is currently ongoing. All data was collected, consolidated and provided to GAO.

- GAO-OIG Report 17-107-ISP-CBP, ICE: Assaults on CBP and ICE Law Enforcement Officers: The Office of Inspector General report emphasizes the threats of violence faced by law enforcement personnel from the U.S. Customs and Border Protection (CBP) and the U.S. Immigration and Customs Enforcement (ICE). The LESC led this effort for CBP and as result of the review, OIG issued eight recommendations which three were directed to CBP. CBP concurred with all three recommendations. The following are the recommendations, actions plans and completion dates for CBP/ LESC.
  - **Recommendation 1:** Provide recurring familiarization training on official assault reporting systems.

Response: Concur. The CBP LESC is actively conducting training to improve assault reporting. Ongoing efforts and proposed plans are outlined in the milestones below.

- Train all Less Lethal Force and Firearms Instructors and ensure that they are conducting this specific training at their field locations. This initiative began in 2016 and is ongoing.
- Train all new U.S. Border Patrol and Air and Marine Operations supervisors at their mandatory supervisory course Technical Training Course (TTC). This initiative began in 2017 and is ongoing.
- Train all new Office of Field Operations supervisors at their mandatory supervisory course Essential Supervisory Skills (ESS). Estimated Completion Date (ECD): December 31, 2018.
- Create and distribute Information Display System (IDS) slides and short videos to be broadcasted across CBP. Slides and videos will be available through LESC's intranet collaboration site. ECD: December 31, 2018.
- Incorporate the training of the assault reporting system (E-STAR) into the established Field Reviews and Local Use of Force Review Boards. ECD: December 31, 2018.

- **Recommendation 5:** Clarify guidance on the types of assaults that must be officially reported, as well as the steps in the reporting process.
  Response: Concur. The CBP LESC plans to implement the following actions to clarify the guidance on the types of assaults that must be officially reported, as well as the steps in the reporting process:

  - Draft an updated memorandum to the field clarifying assault and reportable assault definitions to include reporting procedures. ECD: December 31, 2018.
  - Broadcast the memorandum via the (b) (7)(E) (b) (7)(E) Blast to ensure maximum distribution so that all offices receive the required information and guidance. ECD: December 31, 2018.
  - Create an assault reporting job aid card and posters for display at field locations. ECD: December 31, 2018.

- **Recommendation 6:** Mandate that law enforcement officers complete refresher training quarterly, including training on individual threat assessments (to include pre-assault recognition), assault mitigation techniques, defensive tactics, and scenario-based training exercises.
  Response: Concur. The CBP LESC currently mandates that law enforcement officers complete quarterly use of force training, defensive tactics and scenario based training. Additionally, LESC plans to expand its training efforts as noted in the below milestones:

  - Create a training module on individual threat assessments to include pre-assault recognition and assault mitigation techniques and then disseminate

to use of force instructors. This material will also be available in the instructor reference library within the LESC intranet collaboration site. ECD: January 31, 2019.

- Mandate to CBP law enforcement personnel via memorandum to incorporate this training module and topics into the quarterly use of force training curriculum to include scenario based training. ECD: March 31, 2019.

Information and Incident Coordination Center
The Information and Incident Coordination Center (IICC) has no financial programs/activity with significant deficiencies.

Laboratories and Scientific Services
Laboratories and Scientific Services (LSS) has no financial program/activity with significant deficiencies.

International Affairs
The evaluations also identified financial programs and/or activities with systems of controls that are adequate but had exceptions as described below:

- SIP or MAR results with corrective actions

Self-Inspection Program
Occupational Safety& Health- All Offices: Based on the SIP results under Question #2, the Office of International Affairs (INA) had unsafe conditions found in in the workspace in regards to damaged chairs.

- A request for the replacement of damaged chairs at INA HQ building locations in Washington, DC (RRB and 90 K) has been submitted
- OFAM representative recently confirmed that 24 chairs will be replaced for INA between August 10-13, 2018

Uniforms Management: Based on the SIP results under Question #1, INA did not account for the receipt of uniform deliveries from the carrier (UPS, FEDEX, etc.).

- INA developed an inventory control worksheet to track uniform deliveries from carriers
- No Uniforms received since the induction of the new process

Planning, Analysis & Requirements Evaluation
The evaluations identified programs and/or activities with systems of controls that are adequate with the exception of the conditions identified below:

- **GAO Review** – "DHS Requirements Process Major Acquisitions 102070". Review on what extent the department's and components' requirements development policies and processes ensure that requirements are well defined and facilitate successful acquisition outcomes for major programs, the extent the capacity and training of the requirements

workforce at the department and component level facilitate successful acquisition outcomes, and the extent modifications made to requirements in the operations phase affect program costs. A final report has yet to be made.

Section 2b: Operational Program/Activity Reviews with Significant Internal Control Deficiencies

Office of Intelligence
OI did not identify Operational Program/Activity Reviews with significant internal control deficiencies.

Law Enforcement Safety and Compliance Directorate
No operational programs and/or activities deficiencies were identified for this cycle.

Information and Incident Coordination Center
The IICC has no operational programs/activity with significant deficiencies.

Laboratories and Scientific Services
LSS has no operational program/activity with significant internal control deficiencies.

International Affairs
INA had no operational programs with internal control deficiencies.

Planning, Analysis & Requirements Evaluation
PARE has no operational program/activity with significant internal control deficiencies.

Section 3: Response to Prior Year (FY 2017) CBP Assurance Statement Conditions

Office of Intelligence
During Fiscal Year 2018, OI did not have activities to report out on regarding exceptions reported in the FY 2017 CBP Annual Assurance Statement. There are no prior year items OI is expected to address in this memorandum.

Law Enforcement Safety and Compliance Directorate
No (FY 2017) Assurance Statement Exeptions to report for this cycle.

Information and Incident Coordination Center
The IICC did not contribute to exceptions reported on the FY 2017 CBP Annual Assurance Statement.

Laboratories and Scientific Services
Laboratories and Scientific Services did not contribute to exceptions reported on the FY 2017 CBP Annual Assurance Statement, therefore, has no actions to report.

International Affairs
INA had no exceptions that were noted in the FY 2017 Consolidated CBP Assurance Statement. All corrective action items for FY 2017 were closed out.

Planning, Analysis & Requirements Evaluation
Planning, Analysis & Requirements Evaluation did not contribute to exceptions reported on the FY 2017 CBP Annual Assurance Statement, therefore, has no actions to report.

Section 4: Significant Internal Control Activities and Accomplishments in FY 2018

Office of Intelligence
Besides the actions previously reported in this memorandum, OI did not complete any significant internal controls activities and accomplishments in FY 2018 that are required to be listed in this OS Internal Control Assurance Statement.

Law Enforcement Safety and Compliance Directorate
The following significant internal control activities and accomplishments occurred in FY 2018:

- A new vault was built within the CBP Logistics Center to increase physical security of the firearms.
- New vault allows LESC personnel to maintain two storage locations for firearms; one for "ready to ship" firearms and the other for "firearms awaiting repair". This allows for better control and accountability of the firearms.
- It was learned that LESC was not utilizing the designated *CBP Employee Separations* SharePoint site to record employee departures as required by updated directive. Since May 2018, LESC has complied with this CBP policy and has recorded 100% of employee departures as required.
- LESC assigned a new purchase card Authorizing Officer (AO) and subsequently all purchase cards have been approved and reconciled on time.

Information and Incident Coordination Center
The IICC has no significant internal control activities or accomplishments to report.

Laboratories and Scientific Services
LSS has no significant internal control activities or accomplishments to report.

International Affairs
The following significant internal control activities and accomplishments occurred in FY 2018:

- Implemented automated processes to increase productivity and efficiency in INA's mobile workforce: Electronic Document signature capability for packages; tracking travel costs in Sharepoint to improve future allocation funding; using SAP to annotate movable personal property by name/location for easy inventory access; and data mining on SAP to retrieve outdated equipment for removal as excess inventory.
- Implemented new fleet card transaction process to track the legitimacy of purchases and documentation by having a CBP 173 form completed for all purchases under $100 in the absence of the original receipt.

Planning, Analysis & Requirements Evaluation
The following significant internal control activities and accomplishments occurred in FY 2018:

- The Capabilities & Requirements Division (CRD) uses the Directive 107-01, Joint Requirements Integration and Management System (JRIMS); DHS Instruction Manual 107-01-001-01; internally created document templates and scorecards; and the Knowledge Management/Decision Support Tool in order to ensure CBP's program documentation are fully defined to allow successful programmatic outcomes.
- CRD revised and submitted for signature the draft CBP JRIMS Directive
- CRD created the Component Requirements Executive Designation memorandum to ensure continuity, as there was not yet any direction from the Joint Requirements Council or Program Accountability and Risk Management.
- CRD maintains the CBP Gatekeeper position as an internal control in order to ensure CBP's compliance with written directives.

Please feel free to contact me if you have any questions. If members of your staff have any questions, they may contac(b) (6), (b) (7)(C) OS Special Advisor at (b) (6), (b) (7)(C) or via e-mail at (b) (6), (b) (7)(C)

1300 Pennsylvania Avenue NW
Washington, DC 20229

SEP 25 2018

U.S. Customs and Border Protection

MEMORANDUM FOR: Samuel D. Grable
Chief Financial Officer

FROM: Kathryn L. K[redacted] (b) (6), (b) (7)(C)
Executive As[redacted]
Enterprise Services

SUBJECT: Fiscal Year 2018 ES Internal Control Assurance Statement

Section 1: Program/Activity Reviews with No Significant Deficiencies

During Fiscal Year (FY) 2018, Enterprise Services (ES) evaluated the systems of control for the programs and functions operating within its organization as well as those for the U.S. Customs and Border Protection (CBP) national programs for which ES has program oversight. The programs and functions that were reviewed during FY 2018, and for which ES can state with reasonable assurance that the controls in these areas are adequate, are:

- Automated Commercial System (ACS) Oversight
- Awards – All Offices
- Badges and Credentials
- Body Armor
- Border Patrol Post Academy Program
- Budget Integration and Program Management
- Canine Program
- Collections and Deposits
- Commercial Payments
- Conference Planning
- Data Analysis, Systems, Tools and Information Sharing
- DHS Financial Management Policy Manual (FMPM) policies and practices
- Diversity and Civil Rights
- Emergency Preparedness – Field and Headquarters
- Employee Separations
- Employee Verification
- [redacted] (b) (7)(E)
- Firearms/Less-Lethal Training and Use of Force
- Fleet Card Program
- Forms and Records Management
- Freedom of Information Act (FOIA)

- Government Accountability Office (GAO) and DHS Office of Inspector General (OIG) Reports
- Improper Payments Elimination and Recovery Improvement Act of 2012 (IPERIA)
- Information Security Vulnerability Management
- Information Technology Acquisition Review (ITAR)
- IT Security Test and Evaluations (ST&E)
- Major Acquisitions
- Management Inspection Division (MID) Reviews
- Mandatory Employee Verification
- Mandatory Supervisory Training
- Occupational Safety & Health – All Offices, Training, and Workers' Compensation (ICC)
- Office of Chief Procurement Officer (OCPO) Reviews
    - FY 2017 Triennial Review
    - General Services Administration (GSA) GSA Federal Supply Schedule (FSS) Purchases and Contracts
    - Low-Risk Contract Closeout Procedures
    - Review Contracts Awarded Based on Limited or No Competition
    - Special Review Source Selection
    - Time and Material/Labor Hour Contracts
- Personal Property Management and Inventory
- Physical Computer Security/System Access
- Privacy
- Program Analysis and Budget Execution Functions
- Purchase Card Program
- Receipt and Acceptance of Ordered Goods and Services
- Resource Allocation Plan (RAP) Process
- Security Management Division (SMD) Reviews
- Segregation of Duties for SAP
- Self-Inspections Program (SIP)
- Strategizing, organizing, and planning the CBP workforce
- Sustaining the CBP workforce
- TECS/Seized Assets and Case Tracking System (SEACATS)
- Time and Attendance
- Travel Card Program
- Uniforms Management
- Vehicle Management
- Worker's Compensation

Section 2a: Operational Program/Activity Reviews with Significant Deficiencies

ES provides reasonable assurance that internal controls over **operational programs and/or activities** are established to ensure organizational objectives are achieved, **with the exception of the following significant deficiencies described below:**

A. **Hiring/Workforce Management** – Through the use of technology and other resources, CBP's more than 60,000 employees have made significant strides in border security, trade enforcement, and trade and travel facilitation efforts. However, CBP has faced difficulties recruiting, hiring, and retaining law enforcement personnel and is significantly below its target levels of agents and officers. Core to these challenges are the needs to attract additional applicants and address the insufficiency of polygraphists to provide polygraph exams to the backlog of CBP's applicants. If CBP cannot competitively recruit, hire, and retain new officers and agents in a timely manner, then CBP's ability to carry out its security, trade, and travel missions may be negatively impacted. This has also been validated by Government Accountability Office (GAO) and DHS Office of Inspector General (OIG) reports, which recommended that CBP systematically collect and analyze data on departing law enforcement officers to inform retention efforts and establish in-person pre-screening interviews before polygraph examinations to avoid conducting examinations on unsuitable applicants.

   While risk remains, ES has made substantial progress, in collaboration with other CBP offices, addressing these hiring and workforce management challenges in the past 12-18 months and remains committed to doing so. CBP is pursuing a transformative marketing and brand strategy effort to raise awareness of the CBP brand, change public perceptions, and help position CBP as a premier employer within the law enforcement community and recruit a high-quality workforce. This fiscal year, CBP achieved a 93 percent increase in U.S. Border Patrol (USBP) hiring and a 40 percent increase in Office of Field Operations (OFO) hiring. CBP has also issued a contract to help the agency recruit and hire the 5,000 Border Patrol agents called for in Executive Order 13767, as well as an additional 2,000 CBP officers and 500 Air and Marine Operations (AMO) personnel. This performance-based contract is intended to enhance CBP's recruitment efforts. CBP is currently participating in an ongoing audit related to this contract.

B. **IT Systems Outages** – CBP has experienced system outages across operational and CFO-designated systems that have disrupted trade and travel operations at the Ports of Entry, such as the two-hour system outage of the TECS system in January 2018, which mirrored the four-hour outage one (1) year prior. DHS OIG reports have concluded that frequent delays, outages, or slow performance of CBP's IT systems and infrastructure hinders CBP's border security objectives and recommended that CBP implement improvements to its software testing, software maintenance, system monitoring, vulnerability patching, and disaster recovery capabilities. Additionally, as the single window for cargo processing, Automated Commercial Environment (ACE) outages have the potential to increasingly impact trade and commerce because it is now the potential central point of failure. Since the most recent ACE outage, CBP has developed down-time procedures to be consistent across all Ports. CBP has also invested in hardware to improve redundancy and back-ups and is undertaking a study to identify other opportunities for improving redundancy and resiliency of CBP's IT systems. CBP is also pursuing plans to move and develop new applications in the cloud environment to reduce the risk of outages and losses. CBP is actively monitoring this risk from operational and financial risk management perspectives as it relates to vulnerabilities that could exist for both operational and CFO-designated systems.

C. **Asset Management** – Equipment Control Class 1 (ECC-1) assets are defined as assets that, if lost, could result in loss of life and/or critical mission impairment. This includes items that are dangerous or hazardous, law enforcement credentials, and classified or sensitive information. While continuing to improve from last year, CBP's 99.96 percent inventory accuracy rate for ECC-1 assets maintained in the (b) (7)(E) (b) (7)(E) did not meet the zero percent loss target for the FY 2018 inventory. CBP met all other DHS ECC accountability requirements for other high risk/sensitive law enforcement assets. CBP is actively working with the DHS Office of the Chief Readiness Support Officer to complete remaining corrective actions in response to findings in a FY 2018 DHS OIG report related to CBP's controls over firearms and other sensitive assets.

(b) (5), (b) (7)(E)

Section 2b: Financial Program/Activity Reviews with Significant Deficiencies

ES also provides reasonable assurance that internal controls over **financial operations** are achieving their intended objectives, **with the exception of the following significant deficiencies described below.** Significant deficiencies identified as a result of CBP management's A-123 Internal Control over Financial Reporting (ICOFR) are reported in a subsequent section.

A. **Drawback Payments** – The passage of legislation and CBP's transition of drawback processing from ACS to ACE bolstered CBP's ability to prevent over-refunding of drawback claims. However, the strengthening of drawback controls is dependent upon full implementation of the Trade Facilitation and Trade Enforcement Act of 2015 (TFTEA) to simplify the drawback process and to revise document retention requirements for trade, and related systems and process improvements. TFTEA was signed into law on February 24, 2016; it provides significant enhancements to the drawback laws under 19 USC 1313. CBP had two (2) years from the date of enactment to fully implement the law's provisions, and is

currently in the transition year for the Trade community to file under the new TFTEA drawback requirements by February 24, 2019. However, TFTEA is under active litigation and the full effects of the court proceeding are unknown at this time. Until the pending litigation is resolved and the transition period is completed, CBP expects Drawback controls to remain a significant deficiency.

B. **Core Financial Systems** – CBP's ACS does not maintain trade receivable activity at the transaction level. This issue will be addressed by an ongoing initiative to replace ACS with ACE collections. The revenue governance structure and implementation plan for ACE collections are in development, as well as the identification of funding to cover the collections functionality being added to ACE. Additionally, the systems maintaining CBP's aircraft and marine spare parts inventories do not report addition and usage activity at the transaction level. CBP continues to make progress toward replacing the existing systems with a new Integrated Logistics Support System. Leveraging CBP's existing Maximo instance and licenses, CBP intends to roll-out Phase I in the second quarter of FY 2019, which will include reporting capabilities with sufficient transaction level addition and usage activity information to satisfy the financial system and reporting requirements.

C. **Information Technology General Controls** – The DHS OIG continues to identify information technology general and application control weaknesses at CBP. Weaknesses were cited in CBP's accounting system (SAP), mainframe system environments, and other CFO-designated systems, including weaknesses in access control, separation of duties processes, and audit logging and monitoring. Of these, access management represents the greatest risk to reliance on CBP's automated IT controls. CBP continued to enhance its IT management controls program and expand assessments over CFO-designated systems in FY 2018, which will continue in subsequent years. As part of this program, CBP has implemented remediation strategies to address issues across the portfolio of CFO-designated systems.

D. **Overtime Pay Cap Monitoring** - CBP lacks consistent, agency-wide oversight of employees' earnings with respect to the overtime pay cap established by DHS appropriations law, which prohibits any CBP employee from receiving overtime compensation in excess of $45,000 in a fiscal year without authorization as stated in the FY 2018 DHS Appropriations Act. Exceeding the cap without authorization may be considered a violation of the Antideficiency Act (ADA). DHS has completed its formal investigation and report related to a potential CBP violation of the ADA in FY 2015 and FY 2016 as a result of nine CBP employees whose overtime exceeded this overtime pay cap, which was $35,000 at that time, without authorization. DHS concluded that an ADA violation occurred; formal notifications are on hold pending the outcome of ongoing litigation related to this matter.

Since FY 2016, CBP has made progress improving policies, procedures, and monitoring and oversight mechanisms to mitigate the risk of future overtime pay cap violations, however some planned actions are still outstanding. CBP has communicated to the Program Offices their responsibility to monitor overtime caps within their respective offices and has educated each office on the tools currently available within the payroll system to monitor their compliance. Many program Offices have developed their own procedures to monitor their

employees' overtime payments. In FY 2018, CBP also finalized updates to the CBP-wide ADA directive and disseminated this guidance to CBP personnel. CBP also continues to incorporate requirements and input from relevant stakeholder offices into the CBP Overtime Scheduling System (COSS) Transformation Initiative to enhance the future state time and attendance solution. Following implementation of all revised policies and procedures, CBP plans to develop new training for CBP managers on overtime policy and a new Self-Inspection Program (SIP) worksheet to assess compliance with the new procedures.

As outlined by Departmental guidance, the scope of CBP's assessment of internal control over financial reporting included performing tests of operational effectiveness throughout FY 2018 and verification and validation of corrective action effectiveness as of September 30, 2018. CBP also performs tests on internal controls over business operations.

In support of the Department's goal of obtaining an unqualified audit opinion on its internal control over financial reporting, and to meet evolving OMB guidance, CBP continued to expand and adapt the scope and depth of its internal control assessments in FY 2018. CBP completed A-123 Internal Control reviews over eight (8) business areas, as well as conducted Entity Level Control (ELC) testing. Tests of design and operational effectiveness as well as verification and validation procedures generally resulted in some control deficiencies, some of which are considered to be significant deficiencies related to Revenue and Receivables Management, Property Management, Financial Reporting, and Information Technology General Controls as described at the end of this section. ES does not consider any of the deficiencies to be a material weakness.

Tests of Design and/or Operational Effectiveness were completed in the following areas:

- **Financial Reporting** – Financial reporting considers objectives related to general ledger maintenance, balance sheet, external reporting requirements, accounting period maintenance and closing, required disclosures, estimates, subsequent events, monitoring of service providers, and Digital Accountability and Transparency Act of 2014 (DATA Act) reporting. In FY 2018, control objectives related to reporting of seized and forfeited property, as well as any associated deficiencies, were realigned from Property Management to the Financial Reporting process area. The tests of design over Financial Reporting identified control weaknesses related to the lack of policies and procedures and/or monitoring/review mechanisms for updating the Federal Civil Penalties rates for inflation, classifying legal contingent liabilities, and validating data accuracy in the Seized Asset and Case Tracking System (SEACATS), including non-valued property that impacts the seized and forfeited property footnote. The test of operational effectiveness over Financial Reporting yielded some exceptions associated with untimely actions or inconsistent data between systems and records for various seized and forfeited property transactions, some of which relate to the seized and forfeited property footnote. Considering the large volume of geographically dispersed seizure activities, CBP expects isolated errors or inaccuracies may occur. Over the course of FY 2018, CBP implemented corrective actions to partially or fully remediate a portion of these deficiencies, including conducting trainings, enhancing review mechanisms, and improving data review controls. CBP also conducted additional substantive testing on seized and forfeited property data as of June 30th, identified some reporting inaccuracies

resulting from the modernization of SEACATS, and took corrective action to address these across the population.

- **Fund Balance with Treasury Management** – Fund Balance with Treasury Management (FBwT) considers objectives related to reconciliation and reporting, payment confirmation process, and treasury information maintenance. Neither the test of design nor tests of operational effectiveness over FBwT identified any internal control deficiencies.

- **Property Management** – Property Management considers objectives related to managing and accounting for property and inventory across the various stages of the asset management lifecycle, including acquiring, maintaining, and disposing of property. Tests of design identified key controls that were not designed effectively. The control weaknesses generally relate to a lack of appropriate monitoring or secondary management review of the activity, or a lack of standardized policies, procedures, and/or criteria governing management's review over the control activity. Tests of operational effectiveness yielded some exceptions associated with untimely submission, processing, or approval of property lifecycle activities. The large size and geographic dispersion of CBP's asset portfolio and property custodians present inherent challenges in managing, accounting for, and accurately reporting accountable property. Considering the sheer volume of transactions and decentralized management structure, CBP expects that isolated errors or inaccuracies may occur. CBP's asset management programs continue to strengthen program-level governance, internal controls, and oversight activities to detect and correct erroneous transactions or records.

- **Payment Management** – Payment management considers objectives related to accounts payable, invoicing, disbursing, payment follow-up, payee information maintenance, and reimbursable agreements. The tests of operational effectiveness over Payment Management across CBP did not result in any internal control deficiencies. However, additional Payment Management controls were assessed as part of the Financial Reporting assessment, which resulted in design deficiencies over one (1) key control related to a lack of review evidence for the Accrued Accounts Payable calculation percentage. This control is currently undergoing remediation and V&V procedures and is expected to be completed by the end of FY 2018. In addition, CBP is actively coordinating with DHS and monitoring its charge card and payment management performance to maintain effective operations and controls through the transition to a new Government charge card provider, which is expected to be completed in the first quarter of FY 2019.

- **Human Resources & Payroll Management** – Human Resources & Payroll Management considers objectives related to personnel action administration, benefits administration, time and attendance processing, leave processing, pay processing, labor cost and distribution, and reporting, reconciliation, and records retention. The tests of design and operational effectiveness did not result in any reportable exceptions. Separately, in FY 2018, CBP had two (2) payroll COBRA overpayment events for overtime totaling $28M and affecting approximately 18,000 Office of Field Operations

(OFO) employees. The issue occurred during the transition from a mainframe to non-mainframe scheduling tool. CBP identified the issue and made a one-time change to the payroll process to address it, but was unsuccessful in preventing an overpayment. The issue has since been resolved and CBP is in the process of recovering payments.

- **Revenue and Receivable Management** – Revenue and Receivable Management considers processes relating to bonds, collections, custodial revenue, revenue recognition, revenue recognition, accounts receivable, bill generation, debt management, refunds/drawbacks, unearned/deferred revenue, and user fees. Due to ongoing remediation efforts, as well as the timing and nature of CBP's ongoing transition of collections and other functions from ACS to ACE, CBP adjusted the timing and scope of the A-123 ICOFR assessment for Revenue and Receivable Management in FY 2018. CBP documented existing revenue activities and controls in a revised process narrative as of June 2018, however these controls did not undergo full test of design or test of operational effectiveness procedures.

  CBP collects $43.6 billion (or 95.8 percent of total FY 2017 revenue collections) via electronic collection methods (e.g., automated clearinghouse (ACH), credit card, and wire payments). CBP assessed the design and operating effectiveness of controls for these electronic payment types within the last two (2) years. These payment types are better documented, less complex, and better controlled than the much smaller portion of CBP's collections that are non-electronic (e.g., cash and check). In addition, CBP performed additional testing and reconciliation activities to supplement the FY 2018 process documentation. Specifically, CBP tested a sample of billings to verify billings in ACE matched what is received in ACS. CBP subsequently traced the transactions from ACS through to SAP to provide reasonable assurance that revenue collections processed in ACS are accurately and completely posted to their corresponding Revenue general ledger accounts in SAP. These additional testing activities did not yield any exceptions or issues.

- **Budgetary Resource Management** – Budgetary Resource Management considers processes relating to budget authority, funds distribution, funds control and funds status. The tests of design over the Budgetary Resource Management process area did not identify any control deficiencies. Tests of operational effectiveness identified exceptions related to errors initially recording apportionment amounts that were eventually resolved and untimely contracting officer signatures.

- **Information Technology General Controls** – Eight (8) financially significant CBP systems were selected to undergo the FY 2018 OMB A-123 IT General Control (ITGC) Assessment conducted by the CBP Office of Finance (OF) and the Office of Information and Technology (OIT). Of the eight (8) systems assessed, seven (7) are CFO-Designated Systems. In addition to the CFO-Designated Systems, CBP assessed the Splunk tool because of its impact on other financially significant systems' audit logging controls. The controls tested focused on the security plan, access control, audit logging, configuration management, and segregation of duties. The assessments resulted in the identification of deficiencies associated with access controls (e.g., user account creation and

recertification), audit log reviews, segregation of duties, and other related areas. The access control and segregation of duties control sets represented the largest area of deficiencies across all systems tested. Specifically, policies and procedures for managing access and segregating duties were not complete or documented appropriately. Remediation activity was implemented during FY 2018 and additional remediation is planned for FY 2019.

- **Entity Level Controls** – For the FY 2018 ELC assessment, CBP used a risk-based approach to roll-forward and update the FY 2017 results, along with additional validations, to meet the FY 2018 ELC assessment requirement. As such, CBP focused its efforts on ELC principles and related attributes whose controls are known to have undergone significant changes, ELC principles that the external auditors identified as deficient and subsequently underwent remediation, and offices where new senior leaders had been appointed since the last baseline ELC interviews in FY 2016. CBP has made incremental progress towards strengthening its ELC in specific areas that were considered "partially met" last year. However, the overall results are consistent with those of the FY 2016 and FY 2017 assessments, reflecting seven (7) principles "partially met" and ten (10) principles "met." ELC assessment activities in FY 2019 are expected to further inform any corrective action for strengthening controls in select principles.

Tests of Internal Controls over Operations

- **Improper Payment Elimination and Recovery Improvement Act (IPERIA)** – ES conducted a CBP risk assessment over payments as required by IPERIA. One program, Refunds and Drawbacks, was determined to be high risk and was sampled. CBP reviewed 355 payments totaling over $187 million. The sample showed 99.98 percent of the $187 million was properly paid with only 10 payments totaling approximately $43,000 considered improper. This represents an improvement from last year in which CBP's improper payments from two (2) sample items exceeded $1.3 million.

- **Government Charge Cards** – ES has policies and controls in place to mitigate the risk of fraud and inappropriate charge card practices. The policies and controls continue to be modified to incorporate oversite and datamining procedures. ES performs a number for monthly payment reviews of card activity. In addition, ES participates in monthly DHS Post Payment Audits and semi-annual Statistical Sampling Audits of purchase card transactions to test compliance with DHS and CBP policies and procedures.

- **Conference Spending Reporting** – ES has policies and controls in place to mitigate the risk of fraud and inappropriate conference spending practices. ES uses an automated system to simplify and expedite the conference approval process, which was implemented last year. In FY 2018, CBP completed reviews for 26 internal conferences and 454 external conferences.

- **USAspending.gov** – CBP provides reasonable assurance that the prime Federal award financial data in USAspending.gov is correct at the reported percentage of accuracy. CBP has adequate internal controls over the underlying spending; and has implemented

processes to ensure data completeness and accuracy on USAspending.gov by using control totals with financial statement data and comparing samples of financial data to actual award documents. Additionally, pursuant to the DATA Act, Pub. L. No. 113-101, CBP provides reasonable assurance that internal controls that support the reliability and validity of the Component's account-level and award-level data reported for display on USASpending.gov are achieving their intended objectives. Beginning in the third quarter of FY 2018, CBP began utilizing the DATA Act file for purposes of reporting USAspending data. CBP assessed its DATA Act procedures and controls as part of the Financial Reporting A-123 business process assessment in FY 2018 and did not identify any notable control deficiencies.

Any discrepancies or inaccuracies associated with the above reported items do not rise to the level of a reportable condition. CBP provides reasonable assurance that internal controls, including controls related to government charge cards, conference spending reporting, and IPERIA were designed and are achieving their intended objectives.

Verification and Validation of Corrective Actions

Select business processes, sub-processes, or specific control activities that underwent remediation in FY 2018, based on deficiencies identified by the financial statement audit or internal control assessments, generally were not within scope for the tests of operational effectiveness described above. The effectiveness of remediation activities completed in FY 2018 was assessed through verification and validation procedures.

- **Revenue and Receivable Management** – Results of the verification and validation process conducted indicate improvements were made. CBP successfully implemented new e-Bond functionality in ACE for accumulating open accelerated payments against a continuous bond. CBP has also developed new procedures for identifying insufficient bonds. Additionally, the modernized SEACATS system ensures that all open receivables tied to a SEACATS case are automatically closed once the SEACATS case is closed.

- **Information Technology General Controls** – The OMB A-123 ITGC assessment results served as the verification and validation process used in FY 2018; this approach is practical considering a substantial portion of remediation activity for prior year deficiencies occurs early in the fiscal year and well before FY 2018 ITGC A-123 assessments are completed. The assessments confirmed that corrective actions were completed related to specific IT general controls and were effective in addressing specific FY 2017 financial statement audit deficiencies related to access controls, audit log reviews, segregation of duties, configuration management, and security management across several CFO-Designated Systems, including SAP, Human Resources Business Engine (HRBE), ACE, and the Mainframe. Results indicate significant improvement, however broader IT control vulnerabilities remain across the portfolio of CBP's CFO-Designated Systems.

- **Financial Reporting** – Results of the verification and validation process indicate some improvements have been made to the policies and procedures related to activities and

data that affect the seized and forfeited property footnote. Through enhanced abnormal balance reviews, CBP has improved its approach to detect, investigate, and correct potentially inaccurate non-valued seized and forfeited property transactions. However, improvements are needed to enhance the effectiveness of these abnormal balance reviews. CBP also improved policies and procedures related to processing manual journal entries. In addition, CBP developed and documented detailed procedures to improve budgetary resource posting as part of the year-end close process between the Budget Directorate (Budget) and the National Finance Center (NFC), especially where transactions may have been out of sequence or incomplete. CBP performed a mock year-end close and assessed the effectiveness of the improved reconciliation of the approved apportionment documentation (SF-132) to the report of budget execution (SF-133) to evaluate the effectiveness of the procedures and refine them as needed. However, due to the year-end nature of the process, they cannot be fully assessed in operation until CBP performs FY 2018 year-end closing activities.

- **Budgetary Resources Management** – CBP established a review and approval documentation process for Budgetary resource entries (appropriation, anticipated resources, apportionment, and allotment) to complement the system controls and automated review/approval processes in place for sub-allotment processes. This helped address internal controls regarding budgetary transactions, reporting, and posting of budget authority and decreases the risk that transactions are inaccurate or incomplete. To address the need for additional standard operating procedures, CBP made additional progress developing the CBP Budget Manual, which will be reviewed and reconciled against the DHS FMPM requirements and other policy/control documentation and guidance in FY 2019. CBP also continued to improve the reconciliation of the approved apportionment documentation (SF-132) to the report of budget execution (SF-133); including improvements to business processes and communications between Budget and NFC to identify and resolve questions regarding budgetary accounting transactions.

- **Entity Level Controls** – Results of the verification and validation process indicate improvements have been made to CBP's Entity Level Controls environment, specifically related to meeting ethics training requirements for a specific population of CBP employees. CBP also made notable progress laying the groundwork for Enterprise Risk Management (ERM) in FY 2018. Most notably, CBP executed intensive Risk and Capability Assessment workshops across each of CBP's primary mission areas and produced CBP's FY 2018 Operations Risk Register that was used to inform CBP's operational assurances for the first time this year. However, CBP still needs to update its financial-related policies and procedures to improve compliance and alignment with the FMPM requirements.

- **Property Management** – Results of the verification and validation process confirmed that controls over the lease management schedule were amended to include review of all TRIRIGA lease records, including Interagency Agreements (IAAs).

Based on the scope of these tests of design and operational effectiveness and verification and validation procedures described above, ES provides reasonable assurance that internal control over financial reporting was designed and operating effectively, **with the exception of the following significant deficiencies found:**

A. **Revenue and Receivable Management** – In addition to the exceptions from prior years in areas such as bond sufficiency and entry edit/exception reporting that were not fully resolved in FY 2018, a FY 2017 GAO report, GAO-17-649, identified weaknesses in CBP's monitoring of the Foreign Trade Zone (FTZ) program. The report concluded that CBP does not centrally compile FTZ compliance and enforcement information to analyze and respond to compliance and internal control risks across the program. Weaknesses in controls in reviewing and validating bond sufficiency, monitoring of FTZs, and running and reviewing entry edit/exception reports could impact CBP's ability to be aware of all items entering the U.S. commerce and collect all revenues owed. The completed deployment of core ACE functionality and planned transition of collections from ACS to ACE is expected to resolve some of the deficiencies currently under remediation. Additionally, in response to the recommendations made and concurred with in GAO-17-649, CBP is pursuing interim and longer-term actions to strengthen its ability to assess and respond to compliance risks across the FTZ program. Specifically, CBP will collect data to conduct the risk analysis across the FTZ program and will draft and finalize a compliance review handbook for ACE that incorporates the updated risk assessment tools and best practices for FTZ compliance review and risk categorization by March 31, 2019. CBP also plans to conduct more extensive A-123 test of design and test of operational effectiveness procedures over the Revenue and Receivables Management process in FY 2019.

B. **Property Management** – CBP's standard operating procedures for internal use software (IUS), including monitoring and oversight procedures, evidence of management reviews, and minimum documentation requirements to support recorded costs, are not sufficient to verify project costs are consistently and accurately classified into appropriate phases (e.g., design, development, and operations and maintenance) prior to being capitalized or expensed. This increases the risk that IUS costs may not be recorded accurately. CBP began strengthening IUS oversight and management review controls in FY 2018 and will continue to do so in FY 2019.

C. **Financial Reporting** – In FY 2018, control objectives related to reporting of seized and forfeited property, as well as any associated deficiencies, were realigned from Property Management to Financial Reporting based on their direct impact of the presentation and disclosure of the seized and forfeited property footnote within DHS' financial statements. As previously noted, CBP has made substantial progress strengthening controls around processing and reviewing manual journal entries and performing posting activities as part of the year-end close process. However, despite some improvements to anomaly reviews over non-valued seized and forfeited property data, inventory procedures, and other controls, weaknesses in those controls led to some discrepancies resulting from data input errors in SEACATS. In addition, the transition to the modernized SEACATS environment led to errors in CBP's preparation of the roll-forward data, such as including

types of seizure cases that should be excluded from the footnote. These transition-related discrepancies have been identified resolved for purposes of the year-end footnote.

D. **Information Technology General Controls** – CBP has made substantial progress addressing internal control deficiencies related to access controls (e.g., user account creation and recertification), audit log reviews, segregation of duties, configuration management, and security management across several CFO-Designated Systems, including SAP, HRBE, ACE, NDC Financial Applications, and the Mainframe. Results indicate significant improvement, however IT control vulnerabilities remain in these areas across the portfolio of CBP's CFO-Designated Systems. Remediation activity was implemented during FY 2018, and additional remediation is planned for FY 2019 to address specific deficiencies and enhance CBP's IT management controls program.

Note: The FY 2017 Assurance Statement reportable condition for Budgetary Resources Management is no longer considered a significant deficiency and is not included in the FY 2018 Assurance Statement.

ES contributed to exceptions reported on the FY 2017 CBP Annual Assurance Statement and took the following actions to remediate the control exceptions:

- **Information Technology General Controls** – In response to information technology general and application control weaknesses across several CBP systems, ES continued to remediate known deficiencies and further enhance the IT management control program established in FY 2016, which is underpinned by ongoing collaboration between OF and OIT. Several ES offices maintained a high degree of collaboration with each other and with operational offices to apply IT internal control considerations and improvements to planned system implementations throughout FY 2018, especially with regard to Automated Commercial Environment (ACE) core functionality. CBP also established enhanced procedures and reporting for on the status of CBP employee separations and adherence to proper separation procedures and timelines. ES offices continued to enhance CBP's processes to more consistently manage the use and control of third-party systems that support internal controls over financial reporting. CBP enhanced the design and implementation of SAP IT security controls by reducing segregation of duty conflicts and automating user access provisioning in SAP. CBP also automated the recertification of users' access for COSS and the Time and Attendance Management System (TAMS) using the recertification application and identity, credential, and access management (ICAM) services. ES has increased notifications of contractor and federal employee separations to requisite stakeholders and automated the removal of accounts upon notification of employee termination using the enhanced user separation (USEP) process. Additional remediation is planned for FY 2019 to address specific deficiencies and further enhance CBP's IT management controls program. For example, ES will further integrate Splunk into the audit processes for applications, databases, and operating servers, and will continue its configuration and progress toward deploying an enterprise IT Governance, Risk, and Compliance (GRC) tool. ES will also continue cross-training of Information System Security Officers (ISSOs) and identification, tracking, and remediation of cybersecurity vulnerabilities.

- **Core Financial Systems** – ACS does not maintain trade receivable activity at the transaction level. Although changes in OMB Circular A-123, Appendix D effective for FY 2014 allow for mixed financial systems as long as sufficient financial information is contained in the general ledger, CBP's financial statement auditors have determined that the Accounts Receivable module does not meet the requirements. This issue will be addressed by an ongoing initiative to transition collections functionality from ACS to ACE. The CBP Commissioner has approved the completion of the ACE revenue collections functionality to be designed/developed in ACE. The revenue collections governance structure, requirements, and implementation plan are in development, and CBP is identifying funding to cover development costs.

- **Financial Reporting** - CBP has made substantial progress remediating control deficiencies that contributed to the FY 2017 Financial Reporting Material Weakness (MW). The NFC and the Financial Systems Division (FSD) collaborated with the Budget Directorate to complete a mock-year end close by performing posting activities to ensure the proposed year-end closing controls and processes are working as intended. ES also has worked to develop, document, and implement stronger procedures and strengthening controls, particularly around processing and reviewing manual journal entries.

- **Revenue and Receivables Management** – CBP Offices have worked collaboratively to develop and adjust entry and edit reports in ACE and update policies and procedures related to these reports. Once the policies and procedures are finalized, CBP will provide training to the field. CBP has also worked to conduct risk analysis across the Foreign Trade Zone (FTZ) program and to create a compliance review handbook for ACE that incorporates the updated risk assessment tools and best practices for FTZ compliance review and risk categorization.

- **Overtime Pay Cap Monitoring** - In response to deficiencies in monitoring employee earnings with respect to overtime pay caps, which led to the potential ADA violations cited above, CBP Offices have progressed with corrective actions to prevent future incidents, including continual enhancements to overtime monitoring tools and/or limiting the use of overtime except in emergency situations. CBP maintains communications to monitor overtime caps within their respective offices and has educated each office on the tools currently available within the payroll system to monitor their compliance. In FY 2018, OF completed, approved, published, and disseminated updates to the CBP-wide ADA directive. OF also continues to incorporate requirements and input from relevant stakeholder offices into the COSS Transformation Initiative to enhance the future state time and attendance solution. New training for CBP managers on overtime policy is planned as well as a new SIP worksheet to assess compliance with the new procedures.

- **Budgetary Resources Management** - ES has established a review and approval documentation process for Budgetary resource entries (appropriation, anticipated resources, apportionment, and allotment) to complement the system controls and automated review/approval processes in place for sub-allotment processes. This helped address internal controls regarding budgetary transactions, reporting, and posting of

budget authority and decreases the risk that transactions are inaccurate or incomplete. To address the need for additional standard operating procedures, ES made additional progress developing the CBP Budget Manual, which will be reviewed and reconciled against the DHS FMPM requirements and other policy/control documentation and guidance in FY 2019. ES also continued to improve the reconciliation of the approved apportionment documentation (SF-132) to the report of budget execution (SF-133); including improvements to business processes and communications between Budget and NFC to identify and resolve questions regarding budgetary accounting transactions.

Lastly, ES can report significant activities and accomplishments that occurred in FY 2018, which are provided in an attachment.

If you have any questions or would like additional information, please contact me at (b) (5), (b) (7)(E) or a member of your staff may contact (b) (5), (b) (7)(E) Acting Executive Director, at (b) (5), (b) (7)(E)

Attachment

Attachment

ES can report the following significant activities and accomplishments that occurred in FY 2018:

Office of Finance (OF)

- The Financial Management Division (FMD) continued to collaborate with OIT to remediate known deficiencies and further enhance the established IT Management Control Program.
- FMD collaborated with Fines, Penalties, and Forfeitures (FPF) to incorporate additional advanced trainings to the FPF field officers. This effort bolsters the enforcement of internal control procedures and ensures controls are performed timely.
- FMD along with the Office of Facilities and Asset Management (OFAM) updated CBP procedures over the review and approval of the Lease Management Schedule to include Interagency Agreements.
- FMD actively supported the establishment of policy around the CBP Employee Separation Process, participating and regularly reporting to the Executive Assistance Commissioner (EAC) of Enterprise Services status on improving this process. FMD will continue to refine and work with the team on access controls around user separations.
- FMD completed the ELC assessment and Fraud Risk assessment as key deliverables to DHS.
- FMD completed targeted deliverables from DHS, as documented in the Commitment Letter to include A-123 Tests of Design and Tests of Effectiveness on key processes and a modified approach for Revenue given ACE development.
- FMD worked closely with Operations Support and to obtain a signed ERM Commitment Statement by the Deputy Commissioner and Operations Support, which helped lay the groundwork for FY 2018 operational risk management activities.
- FMD actively participated in all Risk and Capability Assessment workshops hosted by Operations Support, shared feedback on the risk identification and assessment process, and provided input to completing CBP's FY 2018 Operations Risk Register, which was used to inform CBP's operational assurance for the first time this year.
- As one of the largest components within DHS, CBP contributed significantly to DHS receiving an unmodified opinion on its financial statements for FY 2017.
- FMD instituted a process within OF to track weekly e-Rigor audit dashboard inputs from responsible parties and provided weekly reports to the CFO and EAC. FMD coordinated meetings with the CFO for a full status report and assisted the CFO in preparing his formal status briefing to the EAC of Enterprise Services.
- With the transition from SEACATS mainframe to a new platform, FMD developed statistical data analytics tools with OFO, United States Border Patrol (USBP) and OF to analyze the data that populates the Seized and Forfeited Property footnote to improve the accuracy and completeness of information reported on the financial statement.
- FMD performed a root cause analysis to better understand Liabilities for Deposit and the intricacies around the categories of collections that make up the account. FMD produced a draft report with recommendations that is currently under review by appropriate parties within OF and OFO.

- FMD further integrated the Audit Oversight Branch with the Internal Controls Branch to leverage skills and capabilities, making more efficient use of time and provided cross-training for the staff on remediation.
- In FY 2018, FMD completed reviews of 26 internal conference and 454 external conferences attended by 1,110 CBP personnel.
- FMD was able to hire to a 100% staffing level.
- Revenue Division awarded a contract and began design/development processes to upgrade the Electronic Collection System (ECS) Point of Sale (POS) software which will improve and assist in the management of user access controls as well as upgrade Credit Card transaction readers out at the ports. Pilot roll-out will be in FY19, with full implementation in FY20.
- The Financial Systems Division (FSD) successfully implemented the CONCUR User Access Request solution to request elevated access and to track supervisor approval and Travel team provisioning. The solution provides automated workflow to route through the appropriate approval channel and audit trail.
- FSD successfully implemented the Governance Risk and Compliance (GRC) Systems, Applications & Products (SAP) solution for the Receipt of Goods/Services and Contract Management business area and resolved Segregation of Duties for all security technical roles.
- FSD started GRC implementation for Basis technical rules and roles assignment business rules, which is planned to go live in August 2018.
- FSD designed a solution for Emergency Access Management (EAM) using GRC to track the use of elevated privileges within SAP. EAM will provide audit artifacts and reports that will document executed transactions. EAM is expected to go live in August 2018.
- FSD automated user provisioning in SAP to reduce manual error after internal review and to provide greater audit oversight
- FSD streamlined the recertification process using automation and enhanced reporting and migrated recertification access management from the Mainframe to the CBP Recertification Application.
- FSD identified violations and weaknesses using the PricewaterhouseCoopers (PwC) Analysis tool.
- FSD completed the migration of 60 interfaces to the Transport Layer Security (TLS) 1.2 protocol to address the 2017 Plan of Action and Milestones (POA&M).
- FSD completed the SAP Business Object upgrade and the SAP technical upgrade to SAP Business Suite 7 innovation 2016 to meet technical requirements. CBP has implemented SAP's latest program corrections, supported package stacks, and enhanced packages to provide better functionality to business users.
- The National Finance Center (NFC) remediated the Notice of Findings and Recommendations (NFR) CBP-17-13, Ineffective Controls over the Custodial Revenue Cash Accrual, by creating a new reconciliation for custodial revenue, implementing automated Journal Voucher (JV) reversals, and reviewing existing controls over high dollar JVs.
- NFC remediated NFR CBP-17-11, Ineffective Revenue of Subsequent Disbursements, by updating the Standard Operating Procedure (SOP) for review procedures and providing training to staff.

- NFC remediated NFR CBP-17-30, Inadequate Controls over the Review of Classification of Legal Liabilities, by establishing a new process with the Office of Chief Counsel (OCC) where they assess the current/non-current classification of legal liabilities.
- NFC remediated NFR CBP-17-31, Lack of Controls over Yearend Closing Entries, by a combined effort with NFC, OF Budget, and FSD to document the yearend close process and conduct a mock close exercise.
- NFC remediated NFR CBP-17-34, Ineffective Controls over the Taxes, Duties, Trade Receivables (TDTR) Collectability and Validity Checklists, by updating SOPs for review of the validity and collectability results spreadsheets.
- The Budget Directorate developed a strategy to provide program offices with an allocation methodology that ensures offices have sufficient funding under a continuing resolution (CR) while also providing CBP flexibility in light of unforeseen requirements.
- The Budget Directorate provided efficiency to CBP financial projections; the primary focus was improving hiring forecasts, which are a key source of financial forecasting variability for CBP. The effort has served to increase communications and planning efforts between OF, the Office of Human Resources Management (HRM), and various Program Offices, but more importantly served as an enabler to allow HRM to help improve hiring forecasts across the organization.

Office of Information and Technology (OIT)

In FY18, major accomplishments were achieved across CBP systems and applications to enhance technical controls and strengthen the processes. As part of the Border Enforcement Management Systems Division's (BEMSD) remediation of FY17 audit findings, account provisioning was automated and the de-provisioning and recertification of accounts for BEMSD systems were implemented. OIT has multiple initiatives that BEMSD was able to successfully implement. These include:

- As part of the enterprise audit logging initiative, BEMSD integrated Splunk (the enterprise solution to automated audit logging) into all financial systems. Each system had to identify the critical audit events and identify thresholds that trigger an automated alert to occur.
- The integration of Splunk improved the audit logging, reporting, and automated reporting of audit log anomalies, automating threshold alerts, and defining the audit artifacts and methods for collecting evidence.
- As part of the Mainframe initiative, BEMSD successfully migrated/re-hosted two applications (SEACATS and COSS/TAMS) and the supporting database and operating systems to new environments. This included redesigning the user account provisioning, de-provisioning, and recertification processes.
- The SEACATS application and supporting database and operating systems were successfully migrated from the legacy Mainframe to Red Hat Enterprise Linux (RHEL) servers and Oracle databases. The migration included a code modernization enabling SEACATS to better control their environment from a technical control perspective. These include:
    - A more robust process for user access provisioning, de-provisioning, and recertification of accounts by integrating CBPs Identity, Credential, and Access Management (ICAM) Services.

  - Automating the access revocation process upon user separation.
  - Removing the need for a Security Control Officer (SCO) role; thereby, limiting individuals with unrestricted access in the SEACATS application.
- The COSS/TAMS Common Business Oriented Language (COBOL) based application was successfully re-hosted from the legacy Mainframe to a LINIX based environment using Micro-Focus. Moving COSS/TAMS to the new Micro Focus environment enabled access control enhancements including:
  - Automatic disabling of Oracle Unified Directory (OUD) accounts after 45 days on inactivity
  - Recertification of Asset Information Management System (AIMS) profiles in the CBP Recertification Application (RA)
  - Limiting the number of individuals with elevated profiles
  - Increasing the auditable events that COSS/TAMS can capture in audit logs provided to Splunk.
- As part of a multi-year initiative to improve how CBP manages segregation of duties (SoDs), BEMSD acquired, configured, and implemented the SAP GRC module.
  - SAP GRC greatly enhances the SAP team's ability to identify, manage and remediate SoDs in the SAP application.
  - SAP GRC automates the emergency access request and approval processes.
- As part of an enterprise initiative to improve the change management processes for all OIT systems, BEMSD implemented a Remedy Change Management Module. This module improves OIT's ability to initiate, approve, and implement changes into CBP's production systems. Remedy Change Management provides the ability to track and monitor changes in an automated and streamlined manner by replacing the manual processes of email and text files to coordinate activities.

- Information System Security Officer (ISSO) Training – In support of continued education and standardization of enterprise level activity OIT continues to provide and encourage subject matter training initiatives. The training includes focused sessions on the audit logging tool Spunk, a variety of workshops, as well as Security Awareness training and specific ISSO role based training, which includes the following:
  - ISSO Workshops covering training for many subject areas to include:
    - Ongoing Authorization
    - POA&Ms
    - Risk Elements
    - Control Inheritance
    - Federal Information Security Management Act (FISMA) Inventory, Inventory Management Change Request Form
    - Splunk Enterprise Workshop
    - CBP Amazon Web Services (AWS) Cloud East (CACE) Inheritance
    - ISSO Designation Letter Tool Demonstration
    - Technology Lifecycle Management
    - Policy and Training
    - Interim Policy Letters
  - Security Awareness:

    - 2017 CBP Cyber Security Awareness and Rules of Behavior Training, 2017 Privacy Awareness at U.S. Customs and Border Protection.
    - Internal security training sessions to ensure the Security Team members are fully aware of security requirements, hot topics of interest and associated internal formal Process and Procedures.
- Role-Based Training:
    - CBP Delivered: Certified Information Systems Security Professional (CISSP): Risk Management; CISSP: Security Assessment and Testing; Ongoing Authorization (OA) Training;
    - Industry Delivered: Splunk audit tool - GovSummit 2016; National Institute of Standards and Technology (NIST) - Federal Information Systems Security Educators' Association (FISSEA) 30th Annual Conference; Learning Tree International – Cyber Security Risk Assessment and Management for the U.S. Government.

- In FY18, CBP continued to update its documented policies and procedures to ensure continued alignment with application and functional updates as well as updates including the following:
    - Interim Policy Letter for Low Risk Universal Serial bus (USB) Peripherals, signed 3/7/18.

- Vulnerability Analysis and Remediation – Monthly Vulnerability scanning has continued in 2018 for assets in all environments (Operating Systems, Databases, and Web sites). Supporting activities included the following:
    - Agent based scanning of all workstations and laptops occurs every 72 hours as of June 2017. Windows servers are also scanned every 72 hours as of March 2018. (Previously done on a bi-monthly basis).
    - Dashboards have been updated for each FISMA system to ensure that the ISSOs, ISSMs, and system owners have visibility into their vulnerability status at all times. These dashboards no include data on credential failures, Top 10 vulnerabilities, Top 10 vulnerable devices, 30_60_90 day vulnerabilities, and any applicable DHS data call information.
    - Multiple ISSO training sessions were provided by the Vulnerability Assessment Team (VAT) to explain scanning, reporting, and review procedures.
    - Financial Database and External Web Monthly scans continue to be run and we have added additional sites based on OA requirements as well.
    - Quarterly discovery scanning has continued to ensure all devices on the CBP network are accounted for.
    - Tanium Client has been installed on all Advanced Interactive eXecutive (AIX) RHEL assets to help manage software and hardware. The client allows ISSOs to monitor the patch status of all RHEL assets, and identify assets subject to Information Security Vulnerability Notices which require remediation.
    - Information Security Vulnerability Management (ISVM) Queries continue to be created and are available to ISSOs to ensure compliance within their systems.
    - Tenable feed into Splunk is in place and a project to create near real time dashboards for each FISMA system within Splunk is underway.

Office of Accountability (OAct)

- Created and filled a new supervisory position for OAct's front office to better manage the mission support related functions (i.e. budget, human resources and property). The creation of this position enhanced implementation of CBP policies, fostering programmatic and internal controls needed to meet the requirements set forth by ES.
- Developed a filing system to house all budget, property, human resources and pertinent records to support front office operations while adhering to records retention schedules set forth by the OIT Records Management Office.
- Implemented an OAct training data call in tandem with Office of Training and Development's National Training Plan to better utilize non-mandatory training funding for the Office of Accountability.
- Implemented a monthly budget review for the OAct to avoid any unforeseen financial risks involving Budget formulation and execution.
- Managed organizational performance objectively and communicated CBP performance and success. Throughout the year, OAct worked with the appropriate CBP programmatic offices to ensure adherence with the Performance Measure Planning Process and maintained performance reporting procedures to ensure data were complete and reliable. At the time of this Assurance Statement, OAct is on schedule to draft and submit the FYI8 Performance Measure Checklist for Completeness and Reliability to DHS per provided guidance.

Office of Facilities and Asset Management (OFAM)

Personal Property Management Program Oversight

In FY 2018, OFAM initiated and sustained actions that have improved the oversight and accountability of CBP personal property assets through policy and procedure, technology, and customer engagement enhancements or planned enhancements as follows:

- Policies and Procedures
  - Continuation of reconciling/standardizing policies and processes to ensure consistent, timely and efficient review and reporting of losses
  - Evaluating methods and approaches to hold employees more accountable for losses (e.g., determinations of negligence or misconduct and subsequent employee reimbursement and/or standardized disciplinary actions resultant of these losses).
- Technology
  - Business Case completion of the CBP-wide "Single Point of Notification" for asset losses to simplify loss reporting and ensure all stakeholders are aware of losses in a timely manner
  - Developing a Business Case for use of Bar Code Scanners, to automate and speed inventory, increase data accuracy, and enhance management, oversight and analysis
- Customer Engagement
  - Enhanced engagement through personal property loss, oversight, and accountability reporting and communications (e.g., CBP Personal Property

Scorecard) and CBP- wide property professional group meetings and Program Office specific meetings.

Mobile Assets Oversight

- OFAM continued to utilize and improve a web-based Internal Buy Sheet workflow solution for vehicle acquisitions that provides a framework for documentation processing with internal controls for record tracking, version control, enhanced reporting, and oversight capabilities to ensure an auditable and traceable process.
- OFAM continued to utilize and improve an Off-Road Vehicle Automated Buy Sheet Tool with rule-based data controls, automated error identification, and enhanced oversight and reporting capabilities to automate the creation of acquisition documentation and reduce errors due to manual data entry.
- OFAM continued to monitor and update as necessary a monthly vehicle inventory to Table of Vehicles (TOV) validation, comparing the number of active vehicles in fleet to TOVs for each CBP Office, preventing Offices from maintaining excess inventory without OFAM approval, and encouraging Offices to expedite turning in vehicles for disposal.
- Improved and continued comprehensive mobile asset controls and oversight communications, to include recurring announcements and reminders to employees throughout the year regarding use of vehicle seatbelts, text messaging while driving, fleet maintenance responsibilities, vehicle disposal requirements, accident reporting requirements, licensing requirements, mileage reporting requirements, and Home-to-Work (HtW) responsibilities.
- Held the annual 2018 HtW Reauthorization Kick-Off. The all-day session was attended by both support and operational representatives from CBP's participating Offices. Discussion items included lessons learned from previous HtW Reauthorization Requests, an overview of the DHS and CBP Reauthorization Package review and approval process, examples and illustrations to assist operational Offices in preparing justifications to include operational requirements and risk/threat assessments, and CBP Office-level metrics and controls.

Uniforms Management Program Oversight

In FY 2018, OFAM began utilizing an informal self-assessment process to maintain controls over operations, identify and correct potential deficiencies, and drive continuous improvement of the Uniforms Management Program. Other activity includes:

- Improved upon program and vendor performance metrics to monitor the Uniform Contract in areas of on-time fulfillment, accuracy of uniform requests, and uniform item returns using raw ordering data. As a result of analyzing the data and working with the vendor, OFAM has identified root causes that have resulted in improved on-time deliveries and identified uniform quality issues that are currently being resolved.
- Continued use of the automated Quality Assurance Surveillance Plan tool to conduct site visits of the uniform vendor to ensure contract compliance and to track results of previous visits to ensure resolution of previous findings.
- Continued use and improvement of the Uniforms Allowance Account Management Tool, which was implemented in FY 2016 and has automated processes related to the

management of CBP employees' allowance accounts. The tool replaces a hard copy form with an automated form and process that will include error handling and internal controls at the source eliminating errors and ensuring controls are in place as well as allowing for tracking of performance. The system has eliminated 90% of errors that were encountered with the previous system.

- Continued development of robust performance metrics to track program performance, service delivery and management responsibility. The metrics continue to be refined in FY 2018 and OFAM continues to focus on testing internal controls, identifying risks to the program, assessing maturity, and determining impacts of risk mitigation strategies and Corrective Action Plans.

Real Property Management Program Oversight

In FY 2018, OFAM initiated and sustained actions that have improved the oversight and accountability of CBP real property assets through policy and procedure, internal controls, collaborative team efforts, and corrective measures:

- Completed a full review of CBP Lease information to include variables affecting the accuracy of the Quarterly DHS Lease report. These efforts resulted in the submission of the FY 2018 Q3 DHS Lease Report without errors and concerns from DHS. The FY 2018 Q3 submission represents the first time DHS has not returned the report with questions.
- Continued to mature Real Property Internal Controls Team multi-year objective, validating the program's 35 individual internal controls and thereby providing a thorough and streamlined procedure that will result in elimination of potential audit findings and overall audit readiness. In FY 2018, 62% of the Lease Internal Controls have been completely validated. Evidence of this is substantiated by 4108 quality control reviews that have identified and eliminated 461 (11%) data inaccuracies, reducing significantly the potential financial audit risk.
- Implemented an Internal Control Team that addresses the root cause of audit findings, and implements corrective measures to avoid future findings. Under the team's direction, OFAM has not had findings in Inventory or Percentage of Completion for four years, in Asset Disposal for three years, and in Undelivered Orders for two years.
- Initiated a Deferred Maintenance objective focused on EAC Kolbe's current metric reporting that required coordination and support across all of the OFAM/Facilities Management and Engineering Division portfolios. The initiative resulted in a reduction of the actual maintenance backlog by 11.5%, or $29.1M.
- During FY 2018, CBP made significant progress in the remediation of Real Property asset management to include implementation of a Data Quality Working Group, which continues to conduct a complete TRIRIGA system analysis, identifying capability requirements and potential gaps and establishing near, mid, and long-term objectives for improvement.
- During FY 2018 Ql-Q3, Rent Requirements Control Board (RRCB) efforts successfully managed rent-related costs ensuring a positive impact to OMB's "Reduce the Footprint mandate" for DHS's Space Utilization Rate (1.1) and Reduce the Footprint Plan (1.4) requirements, resulting in overall FY 2018 compliance.

Office of Human Resources Management (HRM)

- Implemented Phase II of an organizational transformation, resulting in an alignment of like functions as evidenced by establishing the Human Resources Policy and Programs Directorate and Workforce Resiliency and Engagement Division.
- Restructured HRM's Table of Organization (TO), improving position management and accountability.
- Implemented the Budget Execution Plan to better portray and manage divisional budget requirements and funding.
- Occupational Health and Safety (OHS) conducts annual review of the CBP Occupational Safety and Health Program and implementation of safety program elements and requirements
- Streamlined procedure that will result in elimination of potential audit findings and overall audit readiness. In FY 2018, 62% of the Lease Internal Controls are completely validated. Evidence of this is substantiated by 4108 quality control reviews that have identified and eliminated 461 (11%) data inaccuracies, reducing significantly the potential financial audit risk.
- Implemented an Internal Control Team that addresses the root cause of audit findings, and implements corrective measures to avoid future findings. Under the team's direction, OFAM has not had findings in Inventory or Percentage of Completion for four years, no findings in Asset Disposal for three years, and two years without findings in Undelivered Orders.
- Initiated a Deferred Maintenance objective focused on Executive Assistant Commissioner Kolbe's current metric reporting that required coordination and support across all of the OFAM/Facilities Management and Engineering Division portfolios. The initiative resulted in a reduction of the actual maintenance backlog by 11.5%, or $29.1M.
- During FY 2018, CBP made significant progress in the remediation of Real Property asset management to include implementation of a Data Quality Working Group, which continues to conduct a complete TRIRIGA system analysis, identifying capability requirements and potential gaps and establishing near, mid, and long-term objectives for improvement.
- During FY 2018 Ql-Q3, Rent Requirements Control Board (RRCB) efforts successfully managed rent-related costs ensuring a positive impact to OMB's "Reduce the Footprint mandate" for DHS's Space Utilization Rate (1.1) and Reduce the Footprint Plan (1.4) requirements, resulting in overall FY 2018 compliance.

Office of Acquisitions (OA)

- Updated 22 Procurement Directorate standard operating procedures
- Acquisition Alert 2018-01 – Increasing Collaboration
- Acquisition Alert 2018-02 – Acquisition Plans
- Acquisition Alert 2018-03 – Optimize Specifications and Evaluation Criteria
- New Procurement Instrument Identifier FY 2018 (Homeland Security Acquisition Manual [HSAM] 3004.605)

- Implemented new requirement in support of U.S. Treasury's Invoice Processing Platform for inputting period of performance dates on Purchase Order (PO) line items when acquiring services
- FY 2017 and FY 2018 Hardcopy File Review
- FY 2018 E-Files Review
- DATA Act Certification Reviews
- Federal Procurement Data System (FPDS) Quality Reviews
- Contractor Performance Assessment Reporting System (CPARS) Monthly/Quarterly Reviews

CBP Procurement Directorate GS-14 Council

At the start of FY 2018, the Procurement Directorate started the GS-14 Council. These GS-14s make up a large part of the organization, with Head of the Contracting Activity (HCA) Diane Sahakian believing GS-14s are "the engine" of CBP. The idea is that everyone can be and should be a leader. As current and future leaders, CBP is looking to the Council to:

- Act as the long-range strategic planning group for the Procurement Directorate.
- Conduct strategic planning sessions about where the Procurement Directorate needs to be and how it can get there, including identifying shortfalls and providing and implementing solutions.
- Improve decision-making, productivity, and business practices across the Procurement Directorate while being consistent and standardizing where practicable.
- Continue improving upon mission support services the Procurement Directorate provides to its business partners.
- Fulfill stewardship responsibilities while ensuring wise use of resources.
- Remain committed to seeing success in the Procurement Directorate organization and to the development of others.

Contracts Awarded for New Mission-Critical Requirements

- Border Wall - Awarded eight (8) multiple award Indefinite Delivery, Indefinite Quantity (IDIQ) contracts in support of the Executive Order associated with the construction of the border wall. CBP awarded four (4) IDIQ contracts for prototype walls made of concrete material, and four (4) IDIQs for prototype walls made of other than concrete materials. Each contract: (1) supports a prototype build as well as the construction of optional wall segment along the Southwest border; (2) includes a period of performance of five years; and (3) is valued at $300 million. Six (6) different vendors, five (5) large businesses and one (1) small business, received awards.
- HRM 5000 - Awarded a contract to address surge hiring in support of the Executive Order for an additional 5,000 Border Patrol agents. The contract also supports the hiring of 500 Air and Marine interdiction agents and 2,000 CBP officers. The contract's maximum value is $306 million over five years based on a maximum of roughly 7,500 new hires. The model incentivizes the contractor to target and recruit more efficiently, to support all candidates (attrition and surge hires) through each step of the hiring process, and to introduce innovation and process improvements to shorten the time-to-hire. This contract benefits all of CBP hiring because the vendor is required to provide assessments

of data analytics, effective targeting of potential recruits, process improvements, contract support services to augment specific CBP staffing levels, an applicant care call center, and improvements to technology associated with hiring.

High value contracts in support of OIT

- Targeting and Analysis Systems Directorate (TASPD) Competition - Awarded an OIT mission critical contract for Operations and Maintenance (O&M) Upgrades, Updates, Enhancements and Modifications. The total value of this contract is $407 million over five years. This competitive award amount represents a cost savings of approximately $428 million or 51 percent in comparison to the Independent Government Cost Estimate over the course of the contract. This award supports several OIT projects to provide solutions that support CBP inspection and enforcement activities to help CBP officers and analysts protect our borders and safeguard America. Specifically, this contract helps secure the supply chain and support CBP's layered defense strategy for international cargo and passengers.
- Data Center Support Services Competition - Advanced the DHS mission through the award of a $307 million 10-year Data Center Support Services (DCSS) contract as well as successfully defended a complicated GAO bid protest. CBP had attempted to re-compete the DCSS since July 2011, while being met with continued protests, which resulted in continued sole source task orders. As a result, CBP implemented a new acquisition strategy to permit full and open competition under Federal Acquisition Regulations (FAR) Part 15, using the Multi-Step Advisory Process permitted under FAR 15.202. The collaboration between OIT, Procurement Directorate, Office of Chief Counsel, and the Department of Homeland Security's Procurement Innovation Lab worked extremely well. The DCSS award paves the way for CBP's transition to a hybrid-cloud data center. The procurement team executed a best value/trade-off award, which consolidated seven separate Task Orders into one Contract with an estimated savings of approximately $200 million over a ten-year period of performance.
- Enterprise Program Management Office (EPMO) Procurement - Awarded and defended a General Services Administration (GSA) protest on this effort. This was a new procurement developed in support of OIT's strategic goal of consolidating program management support. This contract action allows seven program directorates the ability to acquire Enterprise-Level Program Management Office Services. The contractor is required to provide skilled and experienced employees to satisfy the performance and quality standards across the enterprise instead of based on a project or program. The contract's estimated procurement value is $60.3 million over five years. This competition will result in an estimated saving of $42.4 million based on the independent government cost estimate.

Office of Training and Development (OTD)

- Several audits and internal CBP assessments conducted and reports issued with no recommendations for OTD or recommendations that have since been closed, including:
    - GAO-18-229 (101677) Federal First Responder Practices – Closed; no recommendations for OTD

- OIG-17-110-AUD-GBP (OIG-18-47 and OIG-18-38) CBP FY 2017 Accounting of Drug Control Funding and Performance Summary (Office of National Drug Control Policy [ONDCP]) – Closed; no recommendations for OTD
- SIGAR-18-03SP-126 – SIGAR Afghan Security Personnel Going Absent Without Leave (AWOL) while Training within the United States – Report Issued; no recommendations for OTD
- MID-14-023 (Full Assessment) Utilization and Safety of Large Scale Non-Intrusive Inspection Equipment – Report Issued; one recommendation for OTD now closed
- MID-17-049 (Limited Review) CBP's Management, Tracking, and Shipping of Firearms and Parts at LESC – Closed; no recommendations for OTD
- MID-18-094 (Full Assessment) Bulk Fuel – Report Issued; no recommendations for OTD

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(b) (6), (b) (7)(C)

Subject: **New Time**USBP: Personnel Requirement Determination
Location: 6th Floor - Conference Room (b)(7)(E)

Start: Tue 11/13/2018 2:30 PM
End: Tue 11/13/2018 3:30 PM
Show Time As: Tentative

Recurrence: (none)

Meeting Status: Not yet responded

Organizer: CBP DEPUTY COMMISSIONER SCHEDULER
Required Attendees: SANDERS, JOHN P; PROVOST, CARLA (USBP); LUCK, SCOTT A (USBP); HUFFMAN, BENJAMINE C; (b) (6), (b) (7)(C) BOATRIGHT, ROBERT L; (b) (6), (b) (7)(C) DCC10A-RMB-COMMISSIONER-CN-RM; (b) (6), (b) (7)(C) OC BRIEFING STAFF; MARTIN, JERRY B
Optional Attendees: (b) (6), (b) (7)(C)

Need to reschedule

Attendees:
C2
COO
B1
B2
BP Robert Boatright
BP (b) (6), (b) (7)(C)
BP Ben Huffman
BP (b) (6), (b) (7)(C)
BP Jerry B. Martin

From: (b) (6), (b) (7)(C)
Sent: Thursday, October 18, 2018 4:45 PM
To: (b) (6), (b) (7)(C)
Cc: (b) (6), (b) (7)(C)
Subject: PRD Briefing to C2

(b) (6), (b) (7) – During a briefing this week on incentives, C2 requested a follow up briefing with USBP on our Personnel Requirement Determination (PRD). Our PRD expert, Chief Boatright, will be here in DC November 13-15. Would it be possible to calendar a briefing with C2 during that time? We would probably need an hour to give him the full brief on the tool which is a Congressional mandate.

Participants from USBP would be B1, B2, Chief Huffman, Chief Jerry B. Martin, Chief Boatright and myself.

I've CCed the adjutants to assist with coordination.

Best,
(b) (6), (b) (7)

(b) (6), (b) (7)(C)
Deputy Executive Director, Strategic Planning & Analysis
U.S. Border Patrol
Desk: (b) (6), (b) (7)(C)
Mobile: (b) (6), (b) (7)(C)
(b) (6), (b) (7)(C)

(b) (5), (b) (7)(E)

(b) (5), (b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)

Subject: NORTHCOM Back Brief
Location: Telecon: (b) (7)(E) / (b) (7)(E)

Start: Sat 10/27/2018 6:00 PM
End: Sat 10/27/2018 6:30 PM

Recurrence: (none)

Meeting Status: Accepted

Organizer: CBP COMMISSIONER SCHEDULER
Required Attendees: PROVOST, CARLA (USBP); PEREZ, ROBERT E; FLANAGAN, PATRICK S; BOYD, VALERIE S; MCALEENAN, KEVIN K; Owen, Todd C (AC OFO); HOWE, RANDY J; (b) (6), (b) (7)(C) [redacted] HASTINGS, BRIAN S
Optional Attendees: LUCK, SCOTT A (USBP)

Phone: (b) (7)(E)
Pin: (b) (7)(E)

Participants:
C1
C2
Chief Provost
XD Howe
XD Hastings
MCAT

(b) (6), (b) (7)(C)

Subject: (b) (7)(E) site visit
Location: (b) (7)(E) Reston

Start: Wed 10/3/2018 9:30 AM
End: Wed 10/3/2018 12:00 PM

Recurrence: (none)

Meeting Status: Meeting organizer

Organizer: PROVOST, CARLA (USBP)
Required Attendees: LUCK, SCOTT A (USBP); (b) (6), (b) (7)(C)

Optional Attendees: HUDSON, RICHARD M

(b) (7)(E) **Visit**

Border Patrol Chief and Deputy Chief

October 3, 2018 – 0930 - 1200

0930 - 0940 Arrival at (b) (7)(E)
Office Visit with (b) (6), (b) (7)(C) – Executive Suite
Address: (b) (7)(E)

0940 – 0945 Transition to Conference Room (b) (7)(E)

0945 – 1025 Border Patrol All Hands Meeting – Room (b) (7)(E)

1025 – 1030 Break and Transition to 2nd Floor

1030 - 1050 B-1/B-2 Desk side visit with BP Permanent and TDY Staff

1050 – 1055 Transition to the (b) (6), (b) (7)(C) Conference Room

1055 - 1100 Introductions/Opening Remarks – Exec. Dir. (b) (6), (b) (7)(C)

1100 – 1120 (b) (7)(E) (b) (7)(E) – (b) (6), (b) (7)(C)

1120 - 1130 (b) (7)(E) (b) (7)(E) (b) (6), (b) (7)(C) REMOVED

1130 – 1140 (b) (7)(E) (b) (6), (b) (7)(C)

1140 – 1150 (b) (7)(E) (b) (7)(E) – (b) (6), (b) (7)(C)

1150 – 1200 (b) (7)(E) (b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)

Subject: (b) (7)(E) path forward brief
Location: Chief's Office

Start: Thu 8/30/2018 12:00 PM
End: Thu 8/30/2018 1:00 PM

Recurrence: (none)

Meeting Status: Meeting organizer

Organizer: PROVOST, CARLA (USBP)
Required Attendees: PROVOST, CARLA (USBP); (b) (6), (b) (7)(C)
Optional Attendees: LUCK, SCOTT A (USBP); (b) (6), (b) (7)(C) HUDSON, RICHARD M

Associate Chief (b) (6), (b) (7)(C) would like to brief B1 on the (b) (7)(E) path forward and challenges we are facing here at the (b) (7)(E) He spoke directly with her yesterday morning at the 830 standup about this briefing. I know her calendar is busy, please let us know when there might be availability on her calendar. We would need no longer than an hour. If possible, anytime the later part of next week would be ideal for us or beyond as her schedule permits.

Thanks,

(b) (6), (b) (7)(C)
Assistant Chief Patrol Agent
(b) (7)(E) – Border Patrol
(b) (7)(E)
Office: (b) (6), (b) (7)(C)
Cell: (b) (6), (b) (7)(C)
HSDN: (b) (6), (b) (7)(C)
JWICS: (b) (6), (b) (7)(C)

(b) (7)(E)

(b) (6), (b) (7)(C)

Subject: NUFRB Discussion
Location: Commissioner's Small Conference Room

Start: Thu 12/20/2018 4:00 PM
End: Thu 12/20/2018 4:30 PM

Recurrence: (none)

Meeting Status: Accepted

Organizer: CBP DEPUTY COMMISSIONER SCHEDULER
Required Attendees: (b) (6), (b) (7)(C) CBP COMMISSIONER SCHEDULER; PROVOST, CARLA (USBP); LUCK, SCOTT A (USBP); (b) (6), (b) (7)(C) C; DCC10A-RMB-COMMISSIONER-CN-RM; (b) (6), (b) (7)(C)
Optional Attendees: (b) (6), (b) (7)(C)

Participants:
C1
C2
B1
B2

From: (b) (6), (b) (7)(C)
Sent: Wednesday, October 10, 2018 1:34 PM
To: (b) (6), (b) (7)(C) FLANAGAN, PATRICK S (b) (6), (b) (7)(C) BOYD, VALERIE S (b) (6), (b) (7)(C) COUREY, MARC BENNETT (OCC) (b) (6), (b) (7)(C)
Subject: NUFRB

Good afternoon,

Following last week's briefing (b)(6)(b)(7)(C), (b)(7)(E) (b) (6), (b) (7)(C) C1 and C2 indicated that they would like to have a follow-up discussion with Chief Provost and Deputy Chief Luck before finalizing that particular case (b) (7)(E) (b) (7)(E) by Chief Provost (b) (7)(E). It was our impression that C1 wanted the follow up discussion to happen relatively soon, but I'm not sure if some of that time pressure has been relieved following the decision to hold off on public release of the completed cases for the time being. Would it be possible to schedule a follow up discussion among C1, C2, the Chief, and the Deputy Chief on the (b) (6), (b) (7)(C) case for some time this week or next?

(b) (6), (b) (7)(C)

Subject: OBIM Executive Stakeholder Board (ESB) (UPDATED Read ahead attached)
Location: 1616 N. Ft. Myer Drive, 18th Floor, Room 1890, Arlington VA

Start: Thu 10/18/2018 2:00 PM
End: Thu 10/18/2018 3:00 PM
Show Time As: Tentative

Recurrence: (none)

Meeting Status: Not yet responded

Organizer: OBIM Leadership Scheduler
Required Attendees: (b) (6), (b) (7)(C)

HARDIMAN, TARA; (b) (6), (b) (7)(C) PROVOST, CARLA (USBP); LEY, JENNIFER E.; (b) (6), (b) (7)(C) MURDOCK, JUDSON W; (b) (6), (b) (7)(C) ISBELL, VALERIE S; (b) (6), (b) (7)(C) MILLER, TROY A; LANDFRIED, PHIL A; (b) (6), (b) (7)(C) A; E; C (AC OFO); P (b) (6) USARMY HQDA DFBA (b) (6)

Optional Attendees: (b) (6), (b) (7)(C)

6/18/2018 Entered by (b) (6), (b) (7)(C)
Meeting POC: (b) (6), (b) (7)(C)
(b) (6), (b) (7)(C)

Call in number available upon request.

Please send an email to (b) (6), (b) (7)(C) ***or*** (b) (6), (b) (7)(C) ***with the name of the person(s) attending from your organization.***

For security: ALL DHS AND NON-DHS VISITORS must report to suite 130 to sign-in and be escorted to the 18th floor. When you arrive be prepared to show your DHS PIV card, government ID or driver's license.

Read Ahead:

ESB_18 OCT 2018_FINAL.PPTX

Driving Directions:

Directions_to_O...

Background Information:

NPPD_Signed Final ESB Charte...

Homeland Security

Office of Biometric Identity Management (OBIM)

Executive Stakeholder Board (ESB) Meeting

October 18, 2018

Agenda

Welcome	(b) (6), (b) (7)(C)	OBIM	5 minutes
Stakeholder Update to the ESB		OBIM	10 minutes
CJIS – Impacts to Law Enforcement		CJIS	15 minutes
Match/Store/Share IDENT Accomplishments & Upcoming Activities		OBIM	15 minutes
(b) (7)(E)		OBIM	10 minutes
Wrap up and Adjourn		OBIM	5 minutes

FBI CJIS Division Topic for Discussion

Topic: (b) (7)(E)

(b) (7)(E)

(b) (7)(E)

(b) (7)(E)

(b) (7)(E)

(b) (7)(E)

Match/Store/Share
IDENT Accomplishments & Upcoming Activities

(b) (7)(E)

(b) (7)(E)

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(b) (7)(E)

(b) (7)(E)

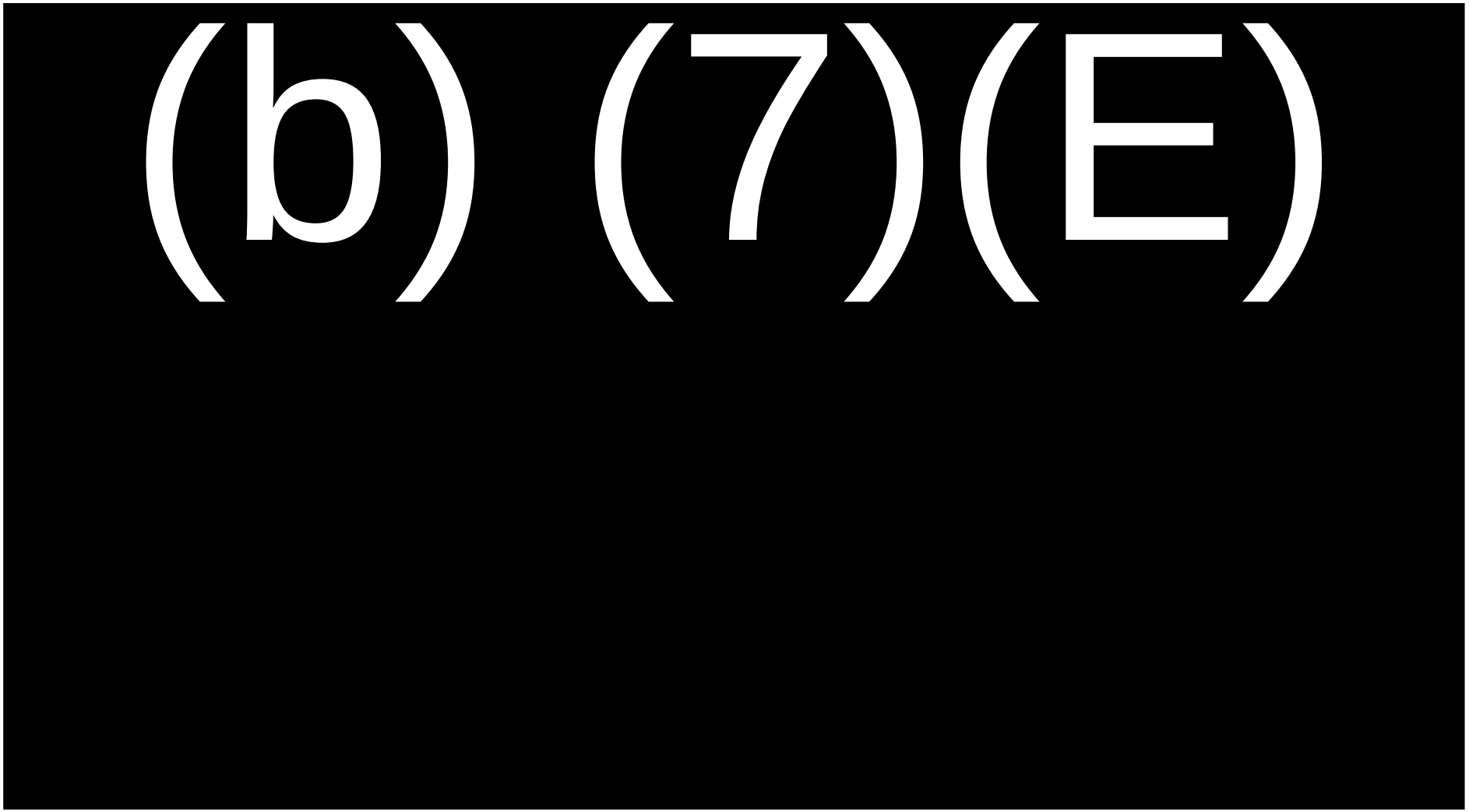
(b) (7)(E)

Wrap-Up and Adjourn

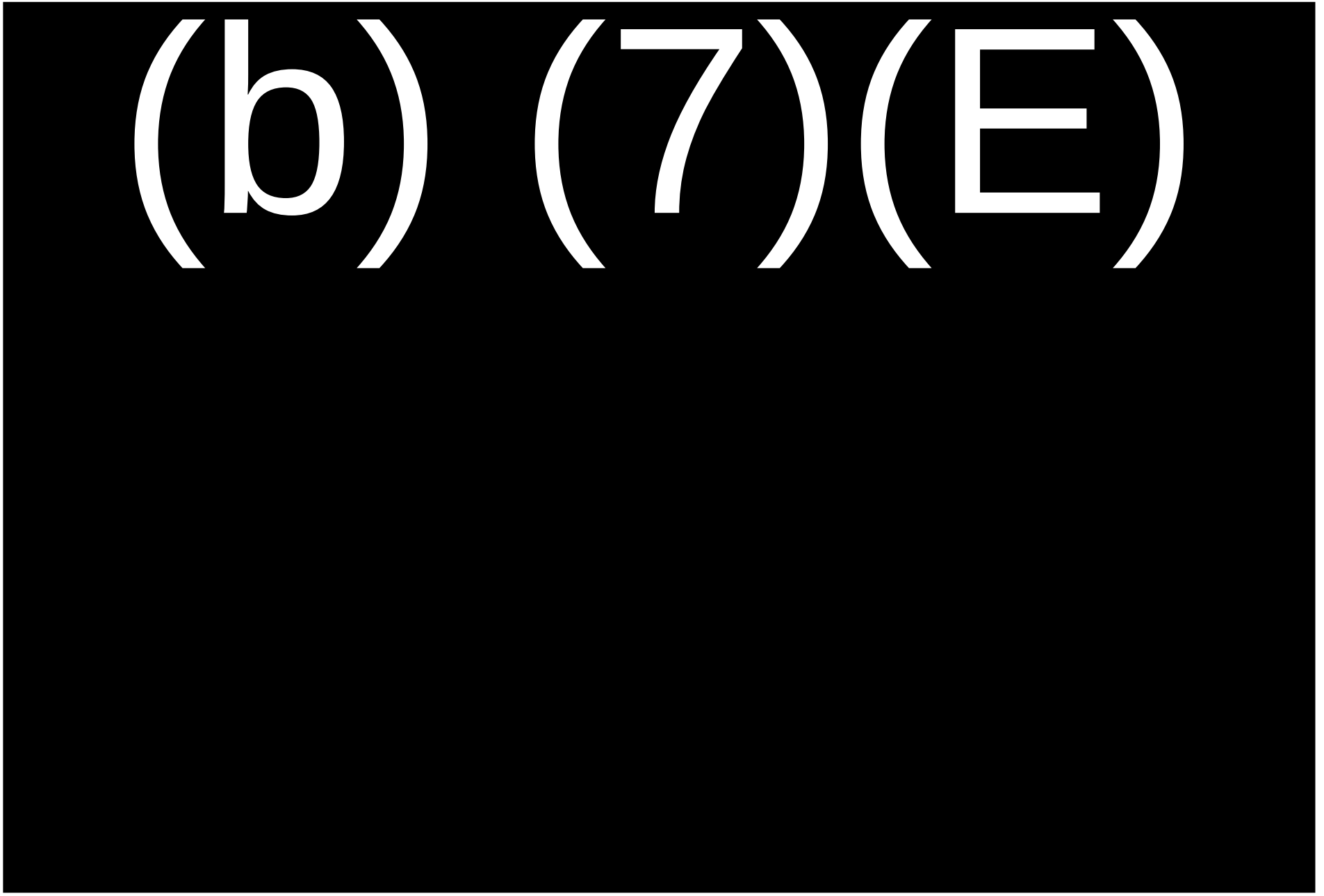
- Summary of action items identified during the meeting
- Next ESB: 17 January 2019

Back Up Slides

DoD – DHS Biometric Data Sharing Update

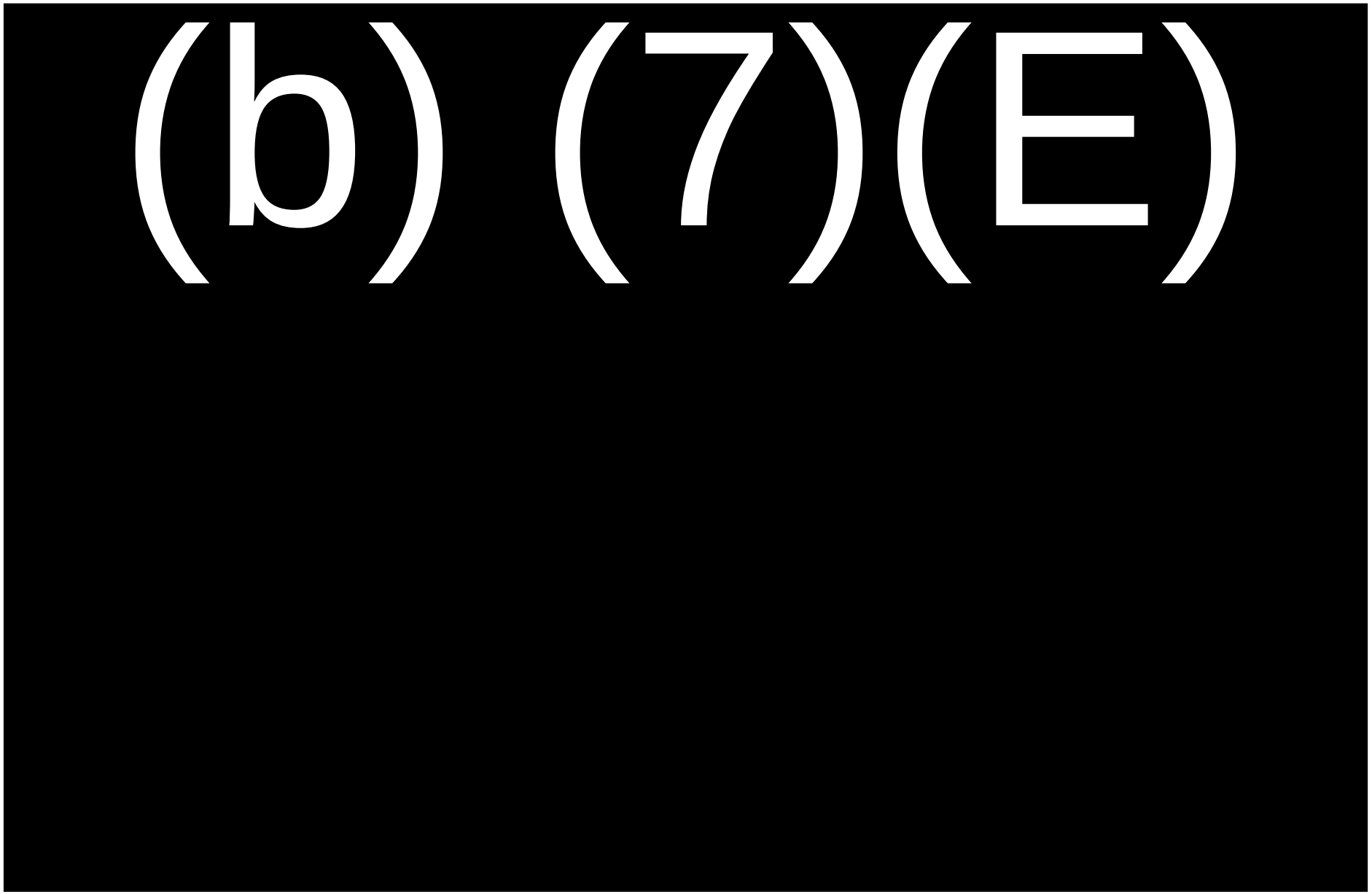


Current IDENT Interfaces



(b) (7)(E)

IDENT Services



(b) (7)(E)

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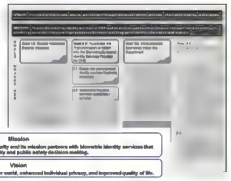
(b) (7)(E)

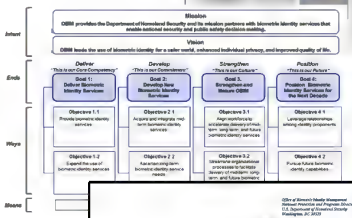
OBIM FY 2019 Priorities

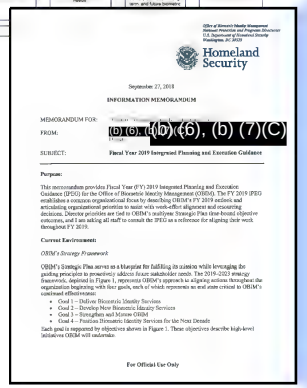
Source: FY 2019 Integrated Planning & Execution Guidance

OBIM FY14-18 Strategic Plan



OBIM FY19-23 Strategic Plan





Homeland Security

September 27, 2018

INFORMATION MEMORANDUM

MEMORANDUM FOR: (b)(6), (b)(6), (b) (7)(C)

FROM:

SUBJECT: Fiscal Year 2019 Integrated Planning and Execution Guidance

Purpose:

This memorandum provides Fiscal Year (FY) 2019 Integrated Planning and Execution Guidance (IPEG) for the Office of Biometric Identity Management (OBIM). The FY 2019 IPEG establishes a common organizational focus by describing OBIM's FY 2019 outlook and articulating organizational priorities to assist with week-effect alignment and resourcing decisions. Director priorities are tied to OBIM's multiyear Strategic Plan time-bound objective outcomes, and I am asking all staff to consult the IPEG as a reference for aligning their work throughout FY 2019.

Current Environment:

OBIM's Strategy Framework

OBIM's Strategic Plan serves as a blueprint for fulfilling its mission while leveraging the guiding principles to proactively address future stakeholder needs. The 2019-2023 strategy framework, depicted in Figure 1, represents OBIM's approach to aligning actions throughout the organization beginning with four goals, each of which represents an end state critical to OBIM's continued effectiveness:

- Goal 1 – Deliver Biometric Identity Services
- Goal 2 – Develop New Biometric Identity Services
- Goal 3 – Strengthen and Mature OBIM
- Goal 4 – Position Biometric Identity Services for the Next Decade

Each goal is supported by objectives shown in Figure 1. These objectives describe high-level initiatives OBIM will undertake.

For Official Use Only

OBIM FY 2019 Integrated Planning & Execution Guidance

2019-2023 Goal	FY19 Director Priorities
Deliver Biometric Identity Services	Maintain current performance levels (in IDENT) through 30 Sep 2020 as (b) (7)(E) Increments 1 and 2 are deployed.
Develop Biometric Identity Services	By 30 Sep 2019, initiate procurement actions for (b) (7)(E) increments 3 and 4.
Strengthen and Mature OBIM	By 30 Sep 2019, develop and manage to a 3- to 5-year workforce transformation plan.
Position Biometric Identity Services for the Next Decade	By 30 Sep 2020, characterize the future biometric identity landscape and update at least biennially.

Arrival Instructions

Please report to the 1st Floor, Room 130 (across from the guards desk is a door, please press the button for assistance) to sign-in and be escorted onto OBIM's floors.

Disabled Parking Instructions: see the last page.

Walking Directions from the Rosslyn Metrorail Stop to OBIM

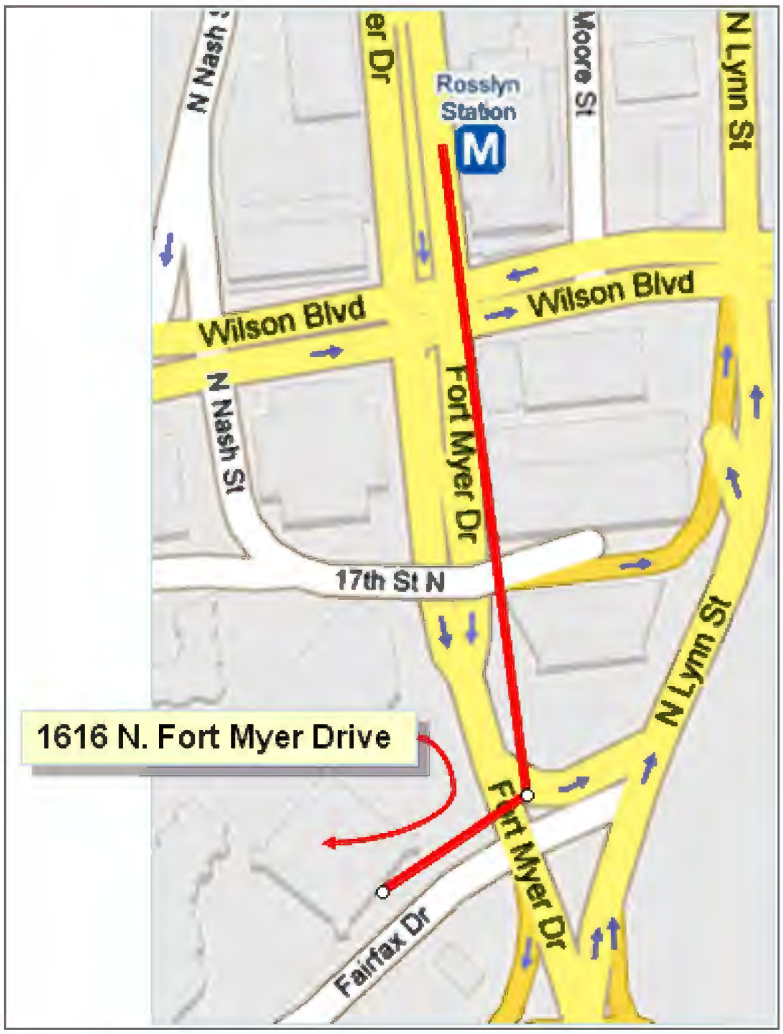
In the event that you need to give someone directions to the OBIM office from the Rosslyn Metrorail stop, the pictures and steps below will help guide people to the building's front entrance.

Exit through the left turnstile at the Rosslyn station. Do an immediate U-turn and go up the stairs, which will lead you to N. Fort Myer Drive. Turn left and you'll be headed toward Wilson Boulevard. Cross over N. Fort Myer Drive,

Proceed across Wilson Boulevard and stay on N. Fort Myer Drive.

After crossing the street, walk under the overpass and proceed until you reach the next street corner, N. Fairfax Drive.

Turn right at the street corner, N Fairfax Drive, and you will find the first-floor front entrance to 1616 N. Fort Myer Drive.



Driving Directions to OBIM

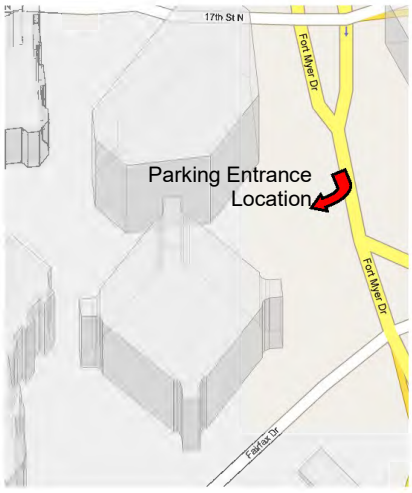
Driving directions to OBIM at 1616 N. Fort Myer Drive from the east (Washington, DC), west (Manassas, VA), south (Fredericksburg, VA) and north (Baltimore, MD) are provided below:

From Washington, DC

1) Take I-66 W.
2) Take the US-29/Lee Hwy exit (exit 73) toward Rosslyn/Key Br.
3) Stay straight to go onto Lee Hwy/US-29 S.
4) Turn slightly left onto Fort Myer DR.
5) Turn right into building's parking garage at 1616 Fort Meyer Dr. right before the corner at N. Fairfax Drive (last entrance before traffic light).

From Manassas, VA

1) Take I-66 E toward Washington.
2) Take the US-29/Lee Hwy exit (exit 72) toward Spout Run Pkwy.
3) Turn right onto Lee Hwy/US-29 N.
4) Turn slightly right onto Fort Myer Dr.
5) Turn right into building's parking garage at 1616 N. Fort Meyer Dr. (last entrance on the right before the traffic light at N. Fairfax Dr.)



Parking Entrance to 1616 N. Fort Meyer Dr.

From Fredericksburg, VA

1) Take I-95 N toward Washington.
2) Merge onto I-395 N via exit number 170A (on the left) toward Washington.
3) Merge onto Washington Blvd. /VA-27 N via **exit 8B** toward Pentagon/Arlington Cemetery/Rosslyn/Memorial Bridge.
4) Merge onto **Jefferson Davis Hwy/VA-110 N** toward Pentagon North Parking Entrance.
5) Turn slightly left to take the Wilson Blvd. ramp toward Rosslyn.
6) Stay straight to go onto Wilson Blvd.
7) Turn left onto Fort Myer Dr.
8) Turn right into building's parking garage on Fort Meyer Dr. (last entrance on the right before the traffic light at N. Fairfax Dr.)

From Baltimore, MD

1) Take I-95 S towards Washington.
2) Take the Baltimore-Washington Parkway exit (exit 22B) toward Washington.
3) Merge onto MD-295 S.
4) Merge onto US-50 W/New York Ave. NE toward Washington.
5) Take I-395 S toward the tunnel.
6) Merge onto Jefferson Davis Hwy/VA-110 N via exit number **8B** toward I-66 W/Rosslyn.
7) Turn slightly left to take the Wilson Blvd. ramp toward Rosslyn.
8) Stay straight to go onto Wilson Blvd.
9) Turn left onto Fort Myer Dr.
10) Turn right into building's parking garage on Fort Meyer Dr. (last entrance on the right before the traffic light at N. Fairfax Dr.)

Disabled Parking Instructions

The parking garage at 1616 N. Fort Myer Drive has the most accessible parking. See step 10 above. Ask the attendant to direct you to the spaces reserved on the ground floor and the entrance to the main lobby.

Executive Stakeholders Board Charter

For Official Use Only

October 23, 2014

Homeland Security

Office of Biometric Identity Management

Message from the Under Secretary

The National Protection and Programs Directorate's (NPPD) Office of Biometric Identity Management (OBIM) is the lead entity responsible for serving the Department of Homeland Security (DHS) and numerous Federal, State, and local organizations with biometric identity services through its management of the Automated Biometric Identification System (IDENT).

(b) (6), (b) (7)(C)

Per Congressional direction stated in the United States Senate Report 112-169 and Senate Report 113-77, OBIM is expected to reconstitute the Executive Stakeholders Board (ESB) to ensure strong coordination with DHS and interagency partners. The ESB is the forum that allows OBIM to solicit input from, and discuss issues with, the agency partners and organizations it supports.

The authority, purpose, membership, roles, responsibilities, and description of the general methods of operation of the NPPD OBIM ESB are documented within this Charter.

Approved b (b) (6), (b) (7)(C)

Under Secretary, NPPD

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Record of Changes

No.	Date	Reference: Page, Table, Figure, Paragraph	A = Add. M = Mod. D = Del.	Change Description
1	11/13/2007	All	A	Original version.
2	11/19/2007	All	M	Minor modifications from blue folder process.
3	11/30/2007	Section 5.5.2	A	Clarified timeframe for distribution of minutes to ESB meeting attendees.
4	02/08/2008	Section 5.1	M	Changed frequency of Board meetings from quarterly and as-needed to biannually and as needed.
5	10/10/2008	Section 4.1, Section 4.2, Section 4.3, Section 5.1	M	Modified to update approvals section to add all ESB members, modify chair of ESB to Director, US-VISIT, modify charter members, modify ESB coordinator role and change meeting frequency to quarterly.
6	11/10/2008	Section 4.2	M	Modified membership titles.
7	12/3/2008	Section 5.4.1, Section 6, Section 7	M	Modified content to reflect NPPD authority, approval, and signature block. Added USCIS Chief Information Officer to the charter members list.
8	1/14/2009	Sections 4.1 and 5.4.1	M	Content modified by OGC to eliminate conflict between 4.1 and 5.4.1. Added TSA Administrators for the Office of Intelligence and the Office of Transportation Threat Assessment and Credentialing.
9	8/20/2009	Signature Page	M	Modified signature page for Director's signature.
10	1/6/2014	All	M	Modified to update organizational change.
11	8/14/2014	All	M	Modified to include stakeholders review/comments.
12	9/29/2014	All	M	Modified to include NPPD OGC review/comments.
13	10/23/2014	All	M	Modified to include NPPD COS comments.

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I. Introduction

The Office of Biometric Identity Management (OBIM) provides biometric identity management services that support numerous Federal, State, and local organizations involved in homeland defense and security. The Executive Stakeholder Board (ESB) was established to provide a cross-organizational forum to share stakeholder goals and initiatives and to discuss, coordinate, and communicate efficient, durable, and scalable biometric identity information and analysis.

II. Purpose

The purpose of this Charter is to set forth the authority, purpose, membership, roles, and responsibilities, and to describe the general methods of operation of the Department of Homeland Security (DHS) National Protection and Programs Directorate (NPPD) OBIM ESB. The ESB is the forum where OBIM solicits input from, and discuss issues with, the agency partners it supports. For purposes of this Charter, stakeholders are comprised of DHS representatives and certain other Federal Departments.

III. Authority

- Department of Homeland Security (DHS) Delegation 17001, "Delegation to the Under Secretary for National Protection and Programs," October 25, 2013
- United States Senate Report 112-169, at 47 (2013)
- United States Senate Report 113-77, at 106 (2014)

IV. Purpose of the Executive Stakeholder Board

The ESB is the forum to solicit input and discuss issues that support the biometric information sharing environment. Congress required OBIM to reconstitute the ESB in the United States Senate Report 112-169 and Senate Report 113-77 in order to ensure strong coordination with DHS and interagency partners.

V. Roles and Responsibilities

The roles and responsibilities for the ESB Chair, members, and OBIM Coordinator are defined below.

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V.1 Chair

OBIM's Director is the ESB Chair. The Chair will:

- Facilitate discussion
- Make and communicate any final decisions
- Receive advice and counsel from stakeholder executive members
- Facilitate Board discussion or action items
- Encourage that membership and attendance is sustained
- Determine the frequency and timing of Board meetings in conjunction with the Coordinator
- Invite Stakeholder Board members via memorandum or letter

V.2 Executive Stakeholder Board Members

The ESB is primarily composed of executive members from various stakeholder agencies integral to supporting OBIM achieve its vision, mission, and business goals. Stakeholder Board members are invited by the Chair as warranted by business needs. Executive Board members are executive representatives from:

- U.S. Customs and Border Protection (CBP)
  - Assistant Commissioner, Office of Intelligence and Investigative Liaison
  - Chief, Border Patrol
  - Assistant Commissioner, Air and Marine
  - Assistant Commissioner, Office of Field Operations
  - Assistant Commissioner, Office of Information and Technology
- U.S. Immigration and Customs Enforcement (ICE)
  - Deputy Director
  - Chief Information Officer
- U.S. Citizenship and Immigration Services (USCIS)
  - Deputy Director
  - Chief of Staff
  - Chief Information Officer
- Transportation and Security Administration (TSA)
  - Assistant Administrator Office of Security Policy and Industry Engagement
  - Assistant Administrator, Office of Intelligence and Analysis
- U.S. Secret Service (USSS)
  - Deputy Director

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- U.S. Coast Guard (USCG)
  - Deputy Commandant for Operations
  - Assistant Commandant for Capability
- Screening Coordination Office (SCO)
  - Deputy Assistant Secretary (DAS)/Senior Director
- Federal Emergency Management Agency (FEMA)
  - Assistant Administrator, Disaster Assistance
- The Office of Intelligence and Analysis (I&A)
  - Principal Deputy Under Secretary
- The Office of Science and Technology (S&T)
  - Human Factors Division Head

Interagency Members:

- U. S. Department of Defense
  - Director, Defense Forensics and Biometrics Agency
  - Director, Defense Biometrics
- U. S. Department of Justice
  - Deputy Assistant Director, Criminal Justice Information Services Division
- U. S. Department of State
  - Deputy Assistant Secretary of State for Visa Services

Chair may invite interagency partners and non-DHS Federal agencies to attend.

- U. S. Department of Transportation
  - Chief Information Office
- U. S. Department of Commerce
  - Deputy Director, National Institute of Standards and Technology (NIST)

Executive Stakeholder Board members are encouraged to:

- Provide recommendations about the overarching vision and strategic direction of OBIM and its responsiveness to applicable operational missions, both within DHS and with participating Government agencies
- Provide a communication link for aligning OBIM's strategic direction, priorities, and resources with those of stakeholders
- Review and recommend new and expanded initiatives that call for OBIM participation, including the scope, impact, risks, prioritization, and required resources
- Represent their organizations' positions on recommendations and agenda topics at Board meetings and take individual responsibility for discussion/action items

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- Communicate discussion topics, decisions, and issues to their organizations, as appropriate

V.3 ESB Coordinator

The ESB Coordinator is an OBIM representative, appointed by the ESB Chair. The Coordinator will:

- Communicate decisions to Board members
- Plan and schedule meetings in conjunction with the Chair
- Support reporting and communication operations
- Coordinate and disseminate meeting schedules, agendas, briefing materials, and minutes
- Determine meeting agendas and recommend the appropriate priority of agenda items for meetings, in conjunction with the Chair
- Serve as the secretary for meetings
- Record, track, review, and disseminate action items, discussions, deadlines, and decisions
- Maintain the Charter, files, and the current list of members

VI. Method of Operation

VI.1 Meeting Frequency

Meetings will be scheduled for each quarter, or more or less frequently, as appropriate.

VI.2 Attendance

The Chair, ESB members, the Coordinator, and presenters are encouraged to attend ESB meetings and actively participate. Requests for additional invitations shall be conveyed to the Coordinator in advance.

Members are encouraged to make every effort to attend all meetings. If a member is unable to attend, they should notify the Coordinator at least 2 business days in advance and request the Chair to approve attendance of a single designated alternate to attend in the member's absence. The alternate will consistently participate on the member's behalf when the member is not available.

VI.3 Conduct

Board meetings will follow pre-released agendas. Discussion will be open to all members and will be moderated by the Chair or an executive-level Board member designated by the Chair.

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VII. Recommendations and Decisions

VII.1 Decision Authority

Final decisions on matters or issues brought before or considered by the Board will reside with NPPD.

VII.2 Voting

At the discretion of the Chair, votes may be taken for the purpose of formalizing a recommendation. In the event of a vote, each DHS board member, or his/her approved substitute, will have one vote. Although non-DHS board members may participate in all meetings, they do not have voting rights.

VII.3 Process for Recommendations and Decisions

The process for recommendations and decisions is as follows:

- The Coordinator will consolidate, identify, and communicate issues for discussion or action to the Chair.
- The Chair will prioritize issues requiring discussions, recommendations, and decisions in Board meetings.
- At the discretion of the Chair, board members may vote on recommendations after discussion.
- The Chair will make decisions following discussion, recommendations, or, if relevant, votes by members on recommendations.
- The Coordinator will record decisions, recommendations, action items, and deadlines in the meeting minutes.
- It is the responsibility of the Coordinator to communicate ESB recommendations, action items, and deadlines to Board members. It is the responsibility of Board members to communicate the recommendations made to their respective organizations.
- The chair will consult with the NPPD Under Secretary, as appropriate.

VIII. General Reporting and Communication

The Coordinator will provide the Board agenda, presentation materials, and minutes from the previous meeting electronically to members no later than 3 business days prior to a meeting, barring extenuating circumstances.

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VIII.1 Agendas

All Board members may nominate topics for future meeting discussion and recommendations. The Chair, in conjunction with the Coordinator, will develop agendas for all Board meetings and make them available to members, typically no later than 3 business days prior to a scheduled ESB meeting.

VIII.2 Minutes

The Coordinator will record, consolidate, and disseminate meeting minutes to Board members electronically no later than 15 business days after the meeting. The minutes will note recommended actions, recommendations, and deadlines formally assigned and accepted.

VIII.3 Notifications

Notifications and communication to members will be conducted through multiple channels, including e-mails and telephone calls, as appropriate.

IX. Duration and Termination of Charter

This Charter is effective on the date of signature by the Under Secretary for NPPD. The Charter will remain in effect until terminated by the NPPD Under Secretary.

X. Approval and Administration

This Charter has been distributed to and reviewed by agency stakeholders and is approved by the Under Secretary for NPPD.

The Charter will be reviewed annually by the ESB Coordinator in conjunction with the Chair. Any proposed change to this Charter, with supporting rationale, is to be submitted in writing to the ESB Coordinator. The Coordinator will evaluate the request and recommend disposition to the Chair. If approved by the Chair and NPPD Under Secretary, any requested Charter change will be communicated, published, and distributed to all members of the ESB.

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(b) (6), (b) (7)(C)

Subject: Organizational Change Package & Career Path Discussion
Location: Chief's Teaming Area

Start: Tue 11/6/2018 2:00 PM
End: Tue 11/6/2018 2:30 PM

Recurrence: (none)

Meeting Status: Meeting organizer

Organizer: PROVOST, CARLA (USBP)
Required Attendees: HOOVER, CRINLEY S
Optional Attendees: (b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)

Subject: Phone call w/ Acting CPA (b) (6), (b) (7)(C)
Location: Phone Call

Start: Thu 10/25/2018 10:00 AM
End: Thu 10/25/2018 10:30 AM

Recurrence: (none)

Meeting Status: Accepted

Organizer: LUCK, SCOTT A (USBP)
Required Attendees: PROVOST, CARLA (USBP); HASTINGS, BRIAN S; (b) (6), (b) (7)(C)

Purpose
Phone call with Acting Chief (b) (6), (b) (7)(C)

Duration
30 minutes

Notes
B1-3 will call Acting Chie (b) (6), (b) (7)(C) at 10am.

Call direct line: (b) (6), (b) (7)(C)

Meeting POC(s)
(b) (6), (b) (7)(C) -B1 Adjutant
(b) (6), (b) (7)(C) -B2 Adjutant
(b) (6), (b) (7)(C) B3 Adjutant

(b) (6), (b) (7)(C)

Subject: Position Review Tool (PRT) Meeting
Location: RRB, CR1

Start: Fri 10/5/2018 10:00 AM
End: Fri 10/5/2018 11:00 AM

Recurrence: (none)

Meeting Status: Accepted

Organizer: HOOVER, CRINLEY S
Required Attendees: (b) (6), (b) (7)(C) HOOVER, CRINLEY S; (b) (6), (b) (7)(C) ; HUDSON, RICHARD M; HUFFMAN, BENJAMINE C; PROVOST, CARLA (USBP); LUCK, SCOTT A (USBP); Conference Room (b) (7) (b) (6), (b) (7)(C)

Position Review Tool update for DPAIC Stations, PAIC/DPAIC SIU, and remaining development requirements

POC: (b) (6), (b) (7)(C)
Telephone (b) (6), (b) (7)(C)
Email (b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)

Subject: PREA Updates
Location: Chief's Teaming Area

Start: Thu 11/8/2018 10:00 AM
End: Thu 11/8/2018 10:30 AM

Recurrence: (none)

Meeting Status: Meeting organizer

Organizer: PROVOST, CARLA (USBP)
Required Attendees: (b) (6), (b) (7)(C)

Background:
C-1 convened representatives from USBP (Chief Huffman), OFO (DEAC Wagner), PDO (Rebekah Salazar), several OCC attorneys, and members of his staff last Friday. The topic of discussion was the status of our ongoing audits for compliance with the Prison Rape Elimination Act (PREA).

C-1 made some decisions that will require her attention, and we'd like to discuss them with her at her earliest convenience.

Thanks,
(b) (6), (b)

(b) (6), (b) (7)(C)

Subject: Prep: Border Wall Brief to the Hill
Location: *NEW Call In Added*Commissioner's Small Conference Room

Start: Mon 10/15/2018 3:00 PM
End: Mon 10/15/2018 3:45 PM
Show Time As: Tentative

Recurrence: (none)

Meeting Status: Not yet responded

Organizer: CBP COMMISSIONER SCHEDULER
Required Attendees: BOYD, VALERIE S; FLANAGAN, PATRICK S; (b) (6), (b) (7)(C) LADOWICZ, JOHN P; (b) (6), (b) (7)(C) PROVOST, CARLA (USBP); SINGLETON, RUYNARD R; (b) (6), (b) (7)(C) LOWRY, KIM M; DCC10A-RMB-COMMISSIONER-CN-RM; OC BRIEFING STAFF; HUFFMAN, BENJAMINE C; MARTIN, JERRY B; LUCK, SCOTT A (USBP); MCALEENAN, KEVIN K; (b) (6), (b) (7)(C)
Optional Attendees: COUREY, MARC BENNETT (OCC); SMITH, FREDERICK B (OCC); (b) (6), (b) (7)(C) PETERLIN, MEGHANN K; (b) (6) (b) (6), (b) (7)(C)

Conference access numbers: (b) (7)(E) or (b) (7)(E)
Your participant code is: (b) (7)(E)

BM: Yes
Lead Office: OCA
OC POC: (b) (6), (b) (7)(C)

Border Wall Update

October 16, 2018

U.S. Customs and Border Protection

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(b) (7)(E)

(b) (7)(E)

(b) (7)(E)

(b) (7)(E)

(b) (7)(E)

(b) (7)(E)

Back Up

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(b) (7)(E)

Homeland Security

Wall Briefing for Senate Majority Leadership Staff
Tuesday, October 16, 2018
11:00 a.m. EDT
U.S. Capitol, Room S-230

Overview:

- You will be meeting with policy and budget/appropriations staff to Senate Majority Leader Mitch McConnell (R-Ky.) and Senate Majority Whip John Cornyn (R-Texas). A full list of participants is below.
- Primary goals are to acquaint Senate Republican leadership staff with the wall program and demonstrate what CBP can achieve with various levels of proposed wall funding ($1.6B/$5B/$25B) by conveying well-articulated, operationally-driven plans.
- Similar to the brief you provided to (b) (6), (b) (7)(C) on January 10, 2018, in advance of the FY18 Appropriations conference discussions, staff requested this meeting to prepare themselves for the FY19 Appropriations Conference discussions, where they expect Wall funding to be a central issue.

Discussion Points:

- (b) (5)

Background:

- (b) (5)
- Sen. Cornyn has been generally supportive of wall, where appropriate, and supplementary resources with an emphasis on technology. He sponsored S.1757, the *Building America's Trust Act*, a bill to provide for strengthening the barriers along the

U.S. land and maritime borders to deter illegal activity, including through U.S. Border Patrol and law enforcement enhancements and personnel increases and National Guard use. He later co-sponsored S.2192, the *Security, Enforcement, and Compassion United in Reform Efforts (SECURE) Act*, a border security and immigration omnibus bill introduced by Sen. Chuck Grassley (R-Iowa). While placed on the Senate calendar, the full Senate has not taken action on either bill.

PRESS: Closed

CBP/OPA Services Required:
- None

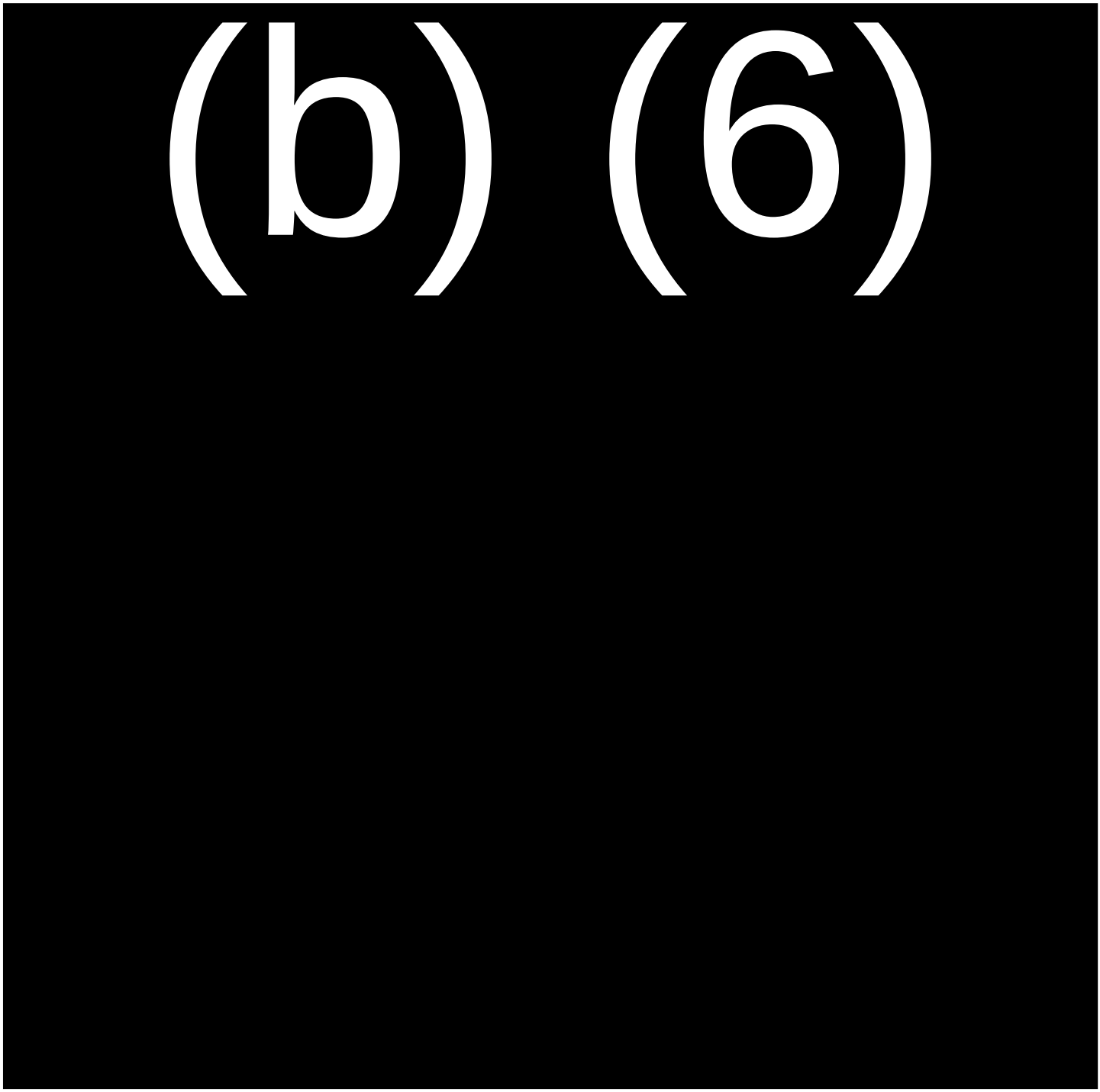
ATTACHMENTS:
- Biographies of confirmed attendees
- "Border Wall Update" slides provided by USBP

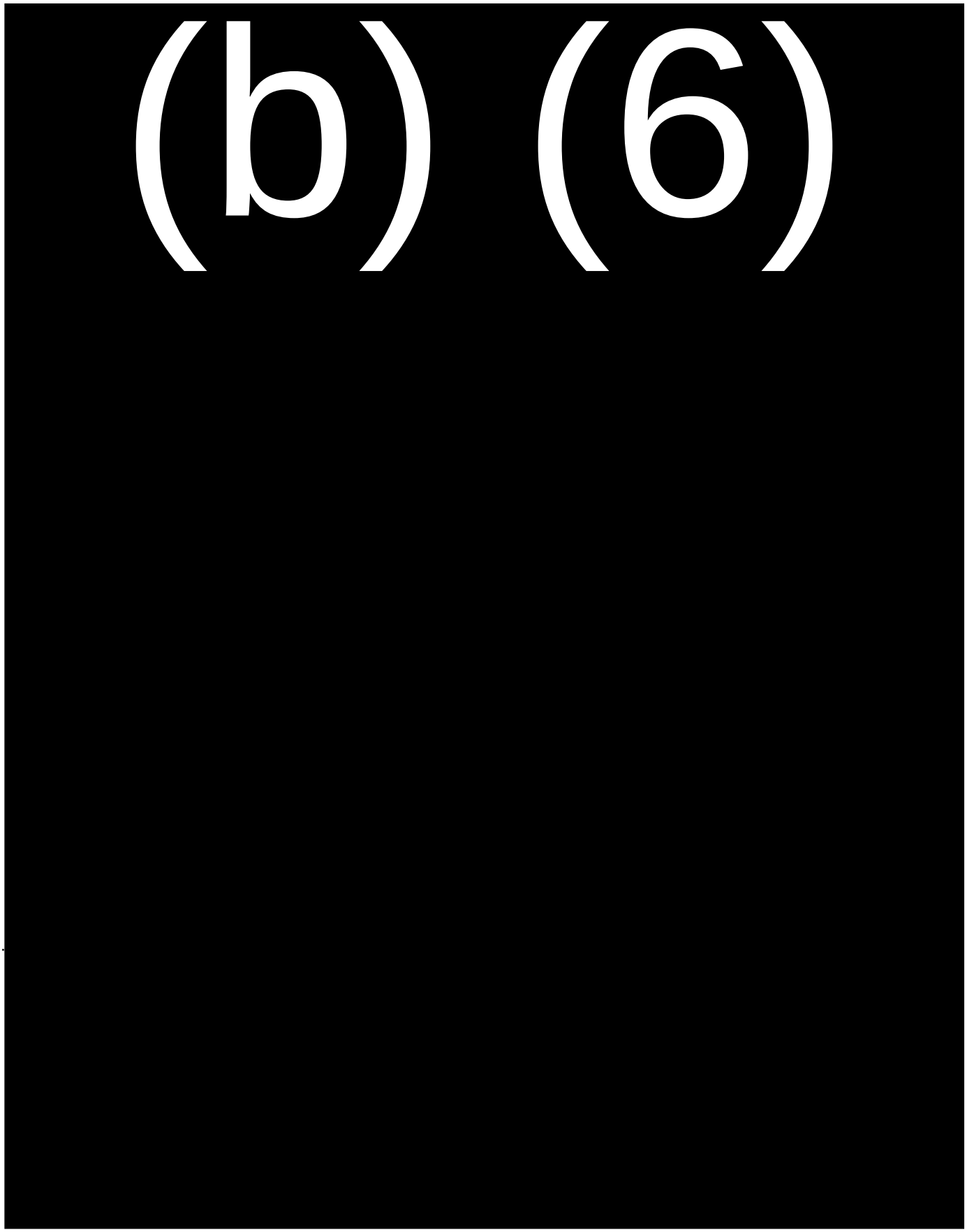
PARTICIPANTS:

CBP
- Commissioner
- B. Carry Huffman, Chief – Strategic Planning and Analysis Directorate, USBP
- (b) (6), (b) (7)(C) Deputy Executive Director – Strategic Planning and Analysis Directorate, USBP
- (b) (6), (b) (7)(C) Deputy Branch Chief – Border, Air and Marine Operations, OCA
- (b) (6), (b) (7)(C) Congressional Liaison Specialist – Appropriations, OCA

Non-CBP
- (b) (6) Policy Director, Office of Senate Majority Leader Mitch McConnell (R-Ky.)
- (b) (6) Chief Counsel, Office of Senate Majority Leader Mitch McConnell (R-Ky.)
- (b) (6) Policy Advisor (Appropriations), Office of Senate Majority Leader Mitch McConnell (R-Ky.)
- (b) (6) Deputy Chief of Staff/Policy Advisor, Office of Senate Majority Whip John Cornyn (R-Texas)
- (b) (6) Policy Advisor, Office of Senate Majority Whip John Cornyn (R-Texas)

Staff Responsible for Briefing Memo:
- (b) (6), (b) (7)(C) Deputy Branch Chief – Border, Air and Marine Operations, OCA, (b) (6), (b) (7)(C)


(b) (6)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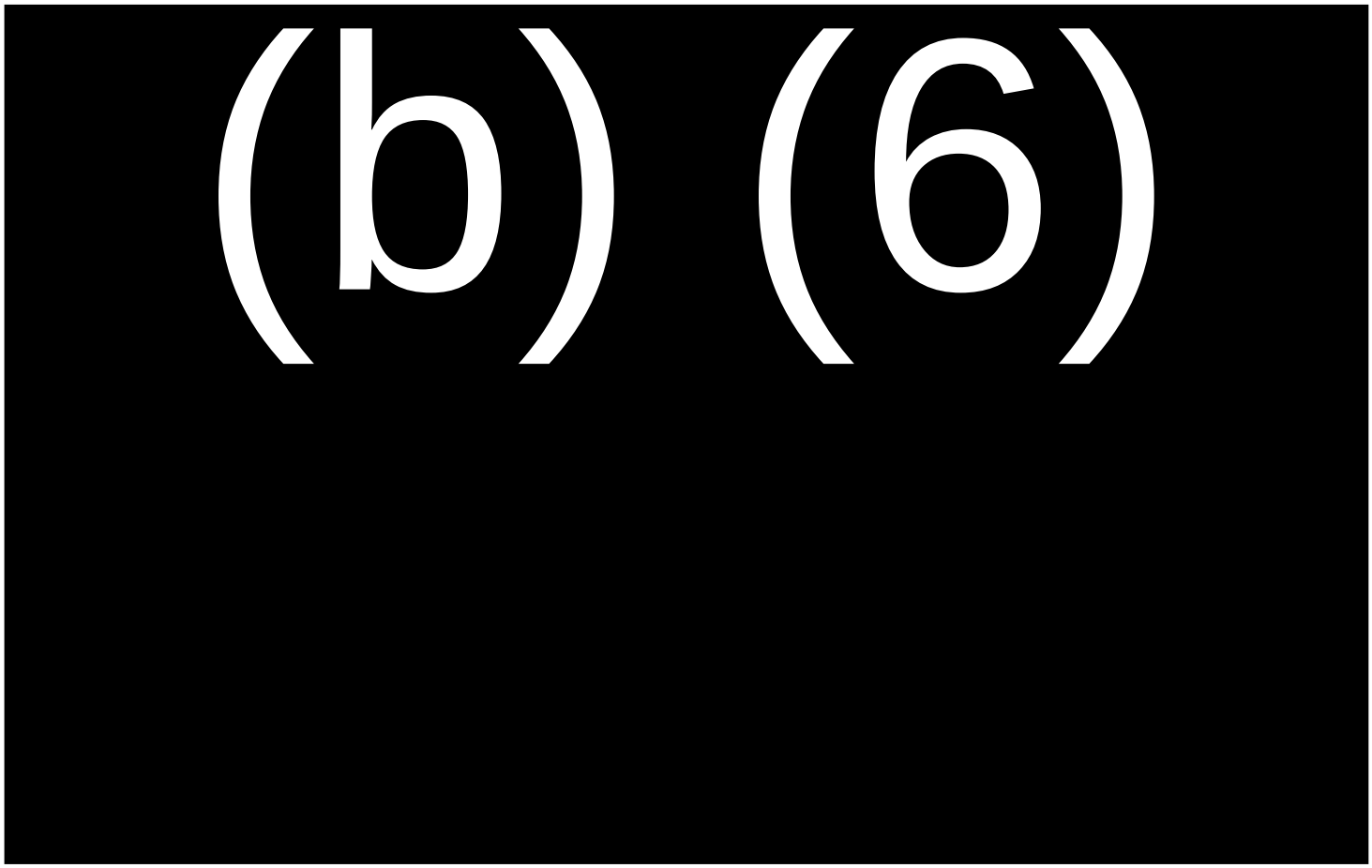
(b) (6)

(b) (6), (b) (7)(C)

Subject: Prep for LTG (b) (6), (b) (7)(C)
Location: Chiefs Office

Start: Wed 10/3/2018 8:00 AM
End: Wed 10/3/2018 8:15 AM

Recurrence: (none)

Meeting Status: Meeting organizer

Organizer: PROVOST, CARLA (USBP)
Required Attendees: HUFFMAN, BENJAMINE C; (b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)

Subject: PREP: WH Deputies Immigration Call
Location: (b) (7)(E) Pin: (b) (7)(E) (RRB, Small Conference Room)

Start: Thu 11/1/2018 1:30 PM
End: Thu 11/1/2018 2:00 PM
Show Time As: Tentative

Recurrence: (none)

Meeting Status: Not yet responded

Organizer: Grady.Scheduler

DO NOT FORWARD OR COPY THIS INVITATION
If there are any questions, please contact (b) (6) or (b) (6)

Front Office lead:
(b) (6), (b) (7)(C)

Attendees:
Acting Deputy Secretary
(b) (6), (b) (7)(C)

Robert Perez
Chief Judson Murdock
Ron Vitiello
(b) (6), (b) (7)(C)

Agenda:

I. CARAVAN UPDATE (State) (2 mins)
II. ASYLUM REG/PROC ROLLOUT (15 mins)
   a. Readout of Oval discussion
   b. Potential court review timeline (DOJ)
   c. Timeline for ramp-up (CBP)
   d. Comms strategy (Comms)
III. TEMPORARY WALL (10 mins)
   a. Legal authority (WHCO)
   b. Operational timeline (DOD)

IV. TEMPORARY HOUSING (5 mins)

a. Legal authority (WHCO) & funding available (OMB)
b. Update on status (DOD/ICE)
c. Update on timeline (DOD)

V. OTHER ITEMS (0 mins)

These will not be discussed on the call, but we should remember ongoing workstreams on:

a. Credible fear improvements
b. Surge operation updates
c. Port matrix
d. Merit-based immigration: OPT, H-1B

(b) (6), (b) (7)(C)

Subject: Prep-JSEM CBP/CBSA Philadelphia
Location: Commissioner's Large Conference Room

Start: Fri 10/26/2018 2:30 PM
End: Fri 10/26/2018 3:00 PM
Show Time As: Tentative

Recurrence: (none)

Meeting Status: Tentatively accepted

Organizer: CBP DEPUTY COMMISSIONER SCHEDULER
Required Attendees: SMITH, BRENDA BROCKMAN; Owen, Todd C (AC OFO); PROVOST, CARLA (USBP); SAUNDERS, IAN C.; (b) (6), (b) (7)(C) OC BRIEFING STAFF (b) (6), (b) (7)(C) (b) (6), (b) (7)(C) (b) (6), (b) (7)(C)
Optional Attendees: DCC10A-RMB-COMMISSIONER-CN-RM

Please do not Forward this invite, if you need assistance please contact (b) (6), (b) (7)(C) or (b) (6), (b) (7)(C)

Still waiting on docs B10-12.

Participants:
A-C2
EAC Smith (Not able to attend)
XD (b) (6), (b) (7)(C)
EAC Owen
Chief Provost- B2 unable to attend (b) (6), (b) (7)(C)
AC Saunders
DXD (b) (6), (b) (7)(C)
Attaché (b) (6), (b) (7)(C) (call-in number needed)
(b) (6), (b) (7)(C)

Dial In Information:
(b) (7)(E)
Pin-(b) (7)(E)

CANADA'S LEGALIZATION AND IMPLEMENTATION OF CANNABIS

Goals for the discussion:

- (b) (5)
  - security and x-ray who are looking for threats on aviation and not cannabis. CATSA stated if they find cannabis they won't do anything as it isn't their mandate.
- (b) (5)
  - (b) (5)
- (b) (5)
- (b) (5)

Talking Points:

- Post Canada's legislation to legalize and regulate recreational cannabis, Customs and Border Protection (CBP) will continue to enforce the United States Federal law (which supersedes State Law) as established by the Immigration Nationality Act (INA) *§ 212(a), §214(b) and §235(a)(3)*.
  - Based on U.S. Immigration Law, an alien who admits to using a controlled substance may be found inadmissible.
  - CBP has the discretion to issue a waiver or parole the individual into the United States on a case-by-case basis.
  - Although medical and recreational cannabis may be legal in some U.S. States and Canada, the sale, possession, production and distribution of cannabis or the facilitation of the aforementioned, remain illegal under U.S. Federal Law. Crossing the border with cannabis remains prohibited and can result in seizure, fines, and/or apprehension.
  - A Canadian citizen working in or facilitating the proliferation of the legal cannabis industry in Canada, coming to the U.S. for reasons unrelated to the cannabis industry will

Prepared by: Briar Dunn, North America Division, Canada, Office of International Affairs, 202-536-7487, **Date:** October 26, 2018

generally be admissible to the U.S.; however, if a traveler is found to be coming to the U.S. for reason related to the cannabis industry, they may be deemed inadmissible.

- (b) (5)

- Throughout this process, CBP Headquarters representatives and Canada Attaché Office personnel have met with CBSA and Public Safety Canada multiple times over the past year to collaborate on various issues related to Canadian legalization of cannabis.
- Operations at the border will remain as usual; however, operational impacts of increased wait-times at POEs throughout the passenger, cargo, and trusted traveler programs remains a possibility; however, CBP is prepared to address.
- While admissibility decisions will still be made by a CBP officer on a case-by-case basis given the facts of the case known to the officer at the time of inspection. CBP notes that the legalization of cannabis in Canada may lead to a general increase in inadmissible aliens arriving from Canada.
  - All aliens must establish to the satisfaction of the inspecting officer that the alien is not subject to removal under the immigration laws, and is entitled, under all of the applicable provisions of the immigration laws, to enter the United States.
  - In general, any arriving alien who is determined to be a drug abuser or addict, or who is convicted of, admits having committed, or admits committing, acts which constitute the essential elements of a violation of (or an attempt or conspiracy to violate) any law or regulation of a State, the United States, or a foreign country relating to a controlled substance, is inadmissible.

- CBP recognizes and appreciates CBSA's efforts of producing three animated video messages, which are aimed at informing the public of the legalization of cannabis in Canada and will broadcast in several Canadian locations on multiple channels.
- CBP further recognizes and appreciates CBSA's efforts in the installation of cannabis-related signage at the border (going into effect on October 17th) informing the public that cannabis remains illegal in the United States.

- As of October 9, 2018, CBP released a Public Affairs Guidance (PAG), which;
  - Reiterates that the United States is a welcoming country, and encourages the legitimate flow of travel and trade over our nation's borders.

  - Informs the public that while laws governing cannabis in individual U.S. states and other nations may change, CBP will continue to enforce U.S. Federal Law, which prohibits the possession of cannabis. Also, to inform the public that if travelers are found in possession of cannabis or found to be associated with the cannabis industry at the border or in Preclearance locations they may be subject to seizure, fines, denied entry and apprehension, under U.S. Federal Law.

- Advises that CBP officers are thoroughly trained on admissibility factors and the Immigration and Nationality Act that broadly governs the admissibility and inadmissibility of travelers into the United States. Determinations about admissibility are made by a CBP Officer based on the facts and circumstances known to the officer at the time.

Background:

- On October 17, 2018, the final implementation of new Canadian cannabis laws went into effect.
- On June 19, 2018, Canada's Parliament voted to approve legislation legalizing cannabis.
  - The provinces will implement laws governing the sale, possession, distribution and use of cannabis throughout Canada.
- On April 13, 2017, the Government of Canada introduced Bill C-45, a legislative proposal to legalize, strictly regulate and restrict access to cannabis.
  - Under the Cannabis Act, it is illegal to import or export from Canada.
- CBSA produced three animated videos informing Canadian citizens what to anticipate at the border and reminding them of the U.S. Federal law.
  - A 40-second video was released the week of June 24th, explaining that although cannabis will soon be legal in Canada, it will remain illegal for transport through the border, to include any attempts to export or import.
  - A 15-second video focuses on the legalization of cannabis in Canada and remaining illegal in the United States. The video encourages those traveling with cannabis to declare it at the border.
  - A 15-second video focuses on the legalization of cannabis in Canada and exporting cannabis and cannabis products remain illegal in the United States.

- CBSA installed cannabis-related signage at the border in two phases:
  - Phase I began in the summer with installation at priority air and land POEs. Signs will remain covered until the cannabis legislation comes into force on October 17, 2018.
  - Phase II follows and the installation is expected to be completed by the end of the year, but no later than March 2019.

WATCH OUT FOR/IF ASKED

- (b) (5)
  - Throughout the-lead up to legalization the Government of Canada expressed assurances to the USG that travelers attempting to transit the U.S./Canada border with cannabis would be in violation of Canadian federal law. (b) (5)

(b) (5)

Prepared by: (b) (6), (b) (7)(C) North America Division, Canada, Office of International Affairs, (b) (6), (b) (7)(C) **Date:** October 26, 2018

- According to Transport Canada, the Government of Canada's institution managing transportation policies and programs, passengers will be permitted to have up to 30 grams of cannabis in either their carry-on or checked luggage at all Canadian airports for domestic flights.
- (b) (5)
- (b) (5)
  - (b) (5)
  - (b) (5)
- Canada continues to seek assurances or get commitments that there will be an exemption created in United States Federal Law to exempt Canadian travelers from our Immigration Laws surrounding "grounds of inadmissibility".
- Canada may ask for assurances that those individuals that legally use cannabis in Canada would be admissible to the United States.
- As cannabis remains federally prohibited in the U.S., use of cannabis in Canada or in U.S. States where it is deemed legal may affect a foreign national's admissibility to the United States.
- "Individuals who believe they may be inadmissible to the United States should contact a local United States Consulate to discuss their situation, or Customs and Border Protection (CBP) in advance of your travel directly to apply for a temporary waiver of inadmissibility."

~~For Official Use Only~~

OFFICE OF FIELD OPERATIONS
ADMISSIBILITY AND PASSENGER PROGRAMS
TRUSTED TRAVELER PROGRAMS
NEXUS LINK TO CBP'S EFFORT TO HARMONIZE APPLICATION FEES FOR TRUSTED TRAVELER PROGRAMS

Goals of Discussion:

- CBP and CBSA are in agreement with the following goals to enhance NEXUS operations:
  - An increased NEXUS application fee of $120 with a revised fee split of $40 for CBSA and $80 for CBP;
  - Integration of conditionally-approved NEXUS applicants into CBP's Enrollment on Arrival Program (EoA);
  - Reduction in the number of jointly staffed NEXUS enrollment centers.
- CBSA has agreed to postpone its requirement for public notice of the NEXUS fee change until CBP completes the process for approval of the Notice of Proposed Rulemaking (NPRM) required for harmonization of application fees for CBP's other Trusted Traveler Programs (Global Entry and SENTRI).
- Today's JSEM permits CBP to provide an updated timeline for approval of the NPRM as outlined below:
  - October 2018
    - Approval by C1 and release to DHS for review (up to 90 days).
  - January 2019
    - Completion of DHS review.
  - March 2019
    - S1 approval of NPRM and release to Office of Management and Budget (OMB) for review (60 days).
  - May 2019
    - Completion of OMB review and publication of NPRM for public comment (60 days).
  - July 2019
    - End of comment period for NPRM.
  - August 2019
    - Conclusion of responses to comments.
  - August 2019
    - Approval of the NPRM
    - Publication of Federal Rules Notice (FRN) for Global Entry/SENTRI and an FRN for NEXUS.

NEXUS Background:

- More than 8.2 million travelers are currently enrolled in CBP's four Trusted Traveler Programs (TTP), including 1,760,037 NEXUS members.
  - Of these, 1,341,595 are Canadian citizens.
- FY18 NEXUS enrollment is up nearly 9% over FY17 totals, with an increase of 95% since FY13.

- NEXUS membership includes 1,565,592 travelers who receive Global Entry (GE) benefits.
- TTP HQ and the CBP Office of Trade, Office of Rules and Regulations (ORR) have finalized a revised draft of the Notice of Proposed Rulemaking (NPRM) regarding the Harmonization of Fees and Application Procedures for Global Entry (GE) and SENTRI.
    - This included an updated (2018) economic analysis of the 2015 CBP TTP Fee Study, which recommends a harmonized application fee of $120 for CBP trusted traveler programs.
- Upon final approval of the NPRM, CBP can issue a Federal Rules Notice (FRN) for GE and SENTRI followed by publication of an FRN to announce the revised fee for NEXUS.

Enrollment on Arrival Program (EoA):

- CBP has 109 enrollment centers to process Trusted Traveler interviews, but the success and growth of Global Entry has created a high demand for enrollment center appointments. To address this need, CBP launched Enrollment on Arrival (EoA) in July 2017, providing an alternative to scheduling and waiting for a Global Entry interview. Conditionally approved Global Entry applicants arriving on international flights can now complete their GE enrollment at a primary inspection booth within the Federal Inspection Service area at 47 airports.
- EoA is currently operational at Toronto Vancouver, Edmonton, Calgary, Ottawa, Halifax and Winnipeg Preclearance airports.
- CBP supports the integration of conditionally approved NEXUS applicants into the EoA process as an effort to reduce the costs of managing NEXUS.
- It is an innovation, which would permit CBSA and CBP to reduce the number of jointly staffed NEXUS enrollment centers.
- CBP Trusted Traveler Programs and the CBSA Traveler Program Directorate are working to define terms, locations and public outreach materials to support the integration of NEXUS into EoA.
- As a first step, CBP and CBSA have successfully tested a concept of operations for NEXUS EoA at Toronto Pearson for Air Canada crewmembers; Air Canada crewmembers are able to complete the CBP interview for NEXUS when departing Toronto and complete the CBSA portion upon return to Canada.

Additional NEXUS Projects:

- Trilateral agreement with Mexico
    - Phase I of the trilateral agreement with Canada and Mexico was completed in 2017, opening NEXUS membership to travelers enrolled in Mexico's Viajero Confiable (VC) program.
    - To date, only 29 Mexican VC members have enrolled in NEXUS. CBSA and the Mexican National Migration Institute (INM) are developing an updated marketing campaign to increase VC membership in NEXUS.
    - In October 2018, CBP and INM completed testing of data exchange to support Phase Two of the trilateral, which will permit NEXUS members to apply for VC.

  - INM's VC application website will be able to accept NEXUS applicants as soon as October 30, 2018; CBP, CBSA and INM are working to confirm an official start date pending completion of an Operational Program Plan and English translation of INM's VC site.

- Trilateral agreement with the United Kingdom
  - In July 2107, CBP, CBSA and the UK Border Force (UKBF) signed a joint statement seeking to extend NEXUS eligibility to UK citizens.
  - Discussion on the UK trilateral has been on hiatus pending Canadian agreement on the revised NEXUS application fee split.
  - CBSA and the UK are seeking to resume discussions; a joint call is planned for November 2018.

- Buffalo Niagara International Airport
  - CBP alerted CBSA that U.S. Senator Charles E. Schumer (D-NY) is seeking creation of a new NEXUS enrollment center at Buffalo Niagara International Airport.
  - A new NEXUS enrollment center in Buffalo would require both CBP and CBSA to deploy dedicated staff, which is contrary to CBSA's desire to draw down on the number of existing NEXUS enrollment centers.
  - Additionally, CBP and CBSA currently staff two NEXUS enrollments center within 25 miles of the Buffalo Niagara Airport, both with open appointment schedules, which can support travelers departing from Buffalo Niagara.

Statistics:

- In FY2018, there were over 2.5 million crossings utilizing NEXUS kiosks at Preclearance Airports in Canada and over 6.7 million crossings utilizing the NEXUS dedicated lanes at ports of entry along the northern border.
- Total NEXUS Dedicated Commuter Lane use up from 15.7% in FY 2017 to 16.6% for FY 2018.

Watch Out For/If Asked:

Q: Why does CBSA need to postpone its requirement for public notice regarding the NEXUS fee change?

A: NEXUS, as a bilateral agreement, requires CBP to issue a Federal Rules Notice (FRN) to announce the increased application fee. However, because the increased NEXUS fee is linked to CBP's effort to harmonize application fees for other trusted traveler programs, CBP must first secure approval of a Notice of Proposed Rulemaking (NPRM) for Global Entry and SENTRI before it can issue Federal Rules Notices (FRN) announcing harmonized application fees for all three programs (Global Entry, SENTRI and separately for NEXUS).

Updated: October 26, 2018

JOINT SENIOR EXECUTIVE MEETING
Irregular Migration

Goals for the discussion:

- The overarching goal of this discussion is to continue enhancing our coordinated border enforcement efforts.
- Acknowledge Canada Border Services Agency's (CBSA) efforts in jointly addressing the northbound irregular migration that was occurring near (b) (7)(E)
- Indicate that CBP is now seeing an increase of southbound irregular migration exploiting Canada's Electronic Travel Authorization (eTA).
- Express concern that CBP is also experiencing southbound irregular migration via port runners through some Ports of Entry.
    - In turn, there has been some local confusion regarding Safe Third Country and the processing of asylum claims.
- Ask what actions will Canada, writ large, be takin regarding the southbound irregular migration?
- Ask what actions will CBSA be taking regarding port runners and Safe Third?
- Ask what are the current trends used by smugglers to exploit the eTA process?

Overview:

- This is a Joint Senior Executive Meeting with CBP and CBSA to discuss the latest trends on northbound and southbound irregular migration flows and the cooperation between CBP and CBSA to address these matters.
- Chief Provost will lead the discussion accompanied by Vice President Jacques Cloutier, CBSA.
- CBSA President John Ossowski will also be present.

Talking Points:

- The Northbound Migration Flows Working Group is CBP led and comprises representatives from Department of State, DHS Policy, CBSA, Royal Canadian Mounted Police (RCMP), and Immigration, Refugees and Citizenship Canada (IRCC).
- Data analysis on a pilot project for Canada's eTA and DHS Electronic System for Travel Authorization (ESTA) applications to identify possible gaps in information sharing is due November 2018.
- (b) (7)(E)
- USBP apprehensions at the Northern Border for FY19 is 409.
    - Of which 239 were Other than Mexicans (OTMs).
- CBSA's processing of irregular migration and expansion of their biometric collection for eTA and the continued sharing of intelligence products.
- eTA: as of November 2016, visa-exempt travelers to Canada (other than U.S. citizens) are required to apply for and receive an approved eTA.

Staff Responsible for Briefing Memo: (b) (6), (b) (7)(C) Assistant Chief, USBP (b) (6), (b) (7)(C) *Oct 26, 2018*

- Canada lifted the visa requirement for United Arab Emirates in June 2018, Bulgaria and Romania in December 2017, and Mexico in December 2016.

Background:

- (b) (7)(E)
  - This information is provided through ongoing collaboration with the US Border Patrol embedded Liaison Officer to the CBSA (Ottawa) and the US Northern Border Coordination Centre.
  - (b) (7)(E)
    - (b) (7)(E)
- Southbound Apprehensions since implementation of eTA up to 10/02/2018:
  - Mexico:
    - 314 apprehensions by USBP
    - 27 made credible fear claims in Canada
    - 247 previously entered Canada on an eTA
  - Romania:
    - 209 apprehensions by USBP
      - 110 since 09/25, particularly through the (b) (7)(E) (Swanton Sector)
    - 115 credible fear claims in Canada
    - 198 entered on an eTA
  - Bulgaria
    - 7 apprehensions by USBP (no refugee claim)
    - All 7 entered with eTA
- (b) (7)(E)
- CBP Reps continue to receive positive feedback from the Integrated Border Enforcement Teams (IBET) highlighting effective communication and information sharing between the U.S and Canada.

Watch Out For/ If Asked:

- (b) (5)
  - DHS Policy is consulting with the State Department for those renegotiations.

Staff Responsible for Briefing Memo: (b) (6), (b) (7)(C) Assistant Chief, USBP (b) (6), (b) (7)(C) *Oct 26, 2018*

- Gray Zone geographic inhibitors: State Department drafted a response to a DIPNOTE in which Houlton Sector concurs with the response, reaffirming USBPs operational objectives within the territorial waters of the U.S.

Staff Responsible for Briefing Memo: (b) (6), (b) (7)(C) Assistant Chief, USBP (b) (6), (b) (7)(C) *Oct 26, 2018*

Preclearance

Goals for the discussion:

- (b) (7)(E)
- CBP requests a response to the questions on the current CBSA firearms policy sent October 16, 2018
- CBP would like a decision from Global Affairs Canada (GAC) on the proposed facial biometric processing pilot in Vancouver as agreed to at the PCG in September

Talking Points:

Firearms

- Firearms protocol signed by U.S. and Canada October 2016.
- (b) (7)(E)
- (b) (7)(E)

Biometrics

- Facial recognition biometric processing was to be deployed in Vancouver as a pilot in the In-transit area in August 2018
- On August 3, GAC contacted the CBP Attaché requesting a pause on this until an assessment could be completed to determine whether the project falls within the scope of the existing agreement.
- At the recent Preclearance Consultative Group (PCG), Canada agreed to complete its assessment within 30 days of receiving a summary of the pilot, which CBP transmitted on September 21, 2018.

Vetting

- Canada and the U.S. have been having regular discussions on vetting in the air mode since 2016, and there appears to be consensus on an approach.
- A draft Information Sharing Protocol is under review by CBP
- Concurrently explore other processes for the non-air mode including the marine TSC process for Port Metro Vancouver
- (b) (7)(E)

Training

- All CBPO's currently assigned to Canada have completed Canadian Charter of Rights and Freedoms training.
- Both CBP and Canada are close to finalizing course content for training on the Preclearance Act of 2016

Protections & Accountabilities

- U.S. hosted Canada in June 2018 for tabletop exercise, where both sides agreed on jurisdiction determinations as well as notification procedures. One unresolved issue concerns the level of notification to be provided by Canada in the situation where a CBP or Canadian Border Services Agency (CBSA) Officer is determined to be involved in an investigation.

Cost Reimbursement & Stakeholder Engagement

- January 2018, joint notification to stakeholders provided on cost recovery
- Canada will have an opportunity to review draft MOUs before they are finalized, at this time while there is tentative agreement on the text of a couple of MOU's, details on staffing numbers and corresponding costs are still under discussion and thus, there has not been any referral for Canada review by stakeholders

Pre-inspection Sites, New Sites & Existing Air Locations

Rail CONOPS

- CONOPS document with CBP Chief Counsel for review, expect return to Canada fall of 2018 for possible finalization

Continuous Law Enforcement Presence

- TC informed CBP and stakeholders in June 2018 that federal funding for LEO presence would be halted November 1, 2018.
- (b) (7)(E)
- A letter was sent to TC from EAC Owen outlining CBP's concerns and intended action to end pre-inspection at pre-inspection sites, unless a reversal of the funding decision is made, or unless TC is able to find a solution to the LEO presence requirement.
- TC has extended the federal funding through January 31, 2019 with no further extensions to be granted. Stakeholders have until mid-December to demonstrate that they have the mechanisms in place to continue providing LEO presence, or CBP will halt pre-inspection operations effective February 1, 2019.
- CBSA is consulting air industry stakeholders to determine industry interest/buy-in

CBP Preclearance Perimeter Paper

- Agreement achieved by Canada and U.S.
- Port Site visits for designation of preclearance perimeter have been completed, with CBP, Canada and airport stakeholders preparing to discuss space designation
- CBP/CBSA to explore options for discussing a possible NEXUS legal framework (this has not been discussed)

Technical Design Standards

- CBP will continue to work with stakeholders to flexibly implement the TDS

Background:

- The Land Rail Marine and Transport Agreement (LRMA) required the enactment of legislation by both countries. On December 16, 2016, the President signed into law the *Promoting Travel, Commerce, and National Security Act of 2016*. A similar bill, *The Preclearance Act of 2016*, was enacted in Canada at the end of 2017, but requires the promulgation of implementing regulations, expected to be in effect by early 2019. At that

point, the United States and Canada anticipate an exchange of notes to bring the LRMA into force.

- Since the signing of the LRMA in 2015, U.S. Customs and Border Protection (CBP) and the government of Canada have collaborated on multiple topic items that need to be resolved for Canada to report to its Ministers that the LRMA is ready for entry into force.
- Canada seeks to apply LRMA entry into force in three (3) phases: Air modes, Non-air modes, and reciprocal preclearance (Canada operating preclearance in U.S.)

WATCH OUT FOR/IF ASKED

- CBSA is currently seeking permanent carriage authority through the legislative process. There is no guarantee that this authority will be granted as CBSA does not have the support of Transport Canada. A link to the political and governmental decisions within Canada on the firearms issue for CBSA follows: https://www.cbc.ca/news/politics/handguns-border-officers-transport-airport-regulations-sidearms-pco-cbsa-1.4770336
- (b) (7)(E)
- A total of 15 incidents between March 2015 and August 2018 have been documented illustrating times where armed LEO presence was needed to assist in the Victoria locations.
- (b) (7)(E)
  - (b) (7)(E)
  - (b) (7)(E)

BORDER OF THE FUTURE

GOALS FOR DISCUSSION:

(b) (5)

(b) (5)

TALKING POINTS:

- Express continued support for this effort.
- (b) (5)

- (b) (5)

WATCH OUT FOR/IF ASKED:

- (b) (5)

BACKGROUND:

- (b) (5)

- (b) (5)
- (b) (5)
  - (b) (5)

- The United States (and perhaps Australia and the UK) desires mutually implementing similar compliance and security requirements into our AEO programs that could help expedite trade to all our nations, and combat U.S. priority issues such as forced labor.
  - (b) (5)

- (b) (5)
- (b) (5)
- (b) (5)
- (b) (5)

- The FCM met in August 2018, and their outcomes from that meeting are below:
  - Ministers endorsed the Border of the Future Strategic Vision 2030.

- (b) (5)
- (b) (5)

- Potential Initiatives of the newly approved 2030 Strategic Vision are outlined below:
  - (b) (5), (b) (7)(E)
  - (b) (5)
  - (b) (5), (b) (7)(E)
  - (b) (5)
  - (b) (5)
  - (b) (5), (b) (7)(E)

Prepared by: (b) (6), (b) (7)(C) INA/IOAD, (b) (6), (b) (7)(C)
Date: October 25, 2018

JOINT SENIOR EXECUTIVE MEETING
WORKING LUNCH HOSTED BY
CUSTOMS AND BORDER PROTECTION (CBP)
October 30, 2018
11:30 am – 1:15 pm
U.S. Customs House, 200 Chestnut Street
Philadelphia, Pennsylvania, USA

OVERVIEW:

- Structured to be a free-flowing discussion and exchange of ideas.
- Brainstorming strategy session on the future of border management and areas of collaboration.
- Duration: 1 Hour, 45 Minutes

DISCUSSION POINTS:

- Modernized Borders
  - Share that CBP is deploying facial recognition and biometric technologies along with enhancing foreign partnerships to verify travelers' identities – both when they arrive and when they leave the United States – by matching a traveler to the document they are presenting. CBP's goal is to enhance national security and protect a traveler's identity against theft.
  - (b) (7)(E)
  - (b) (7)(E)
  - (b) (5), (b) (7)(E)
  - While similar discussions have been ongoing with the Government of Mexico, CBP remains confident that our bi-national deliberations will also result in new opportunities for biographical data exchange.
  - (b) (5)
  - Convey CBP's desire to implement the facial recognition pilot in Vancouver that it is already running in four other preclearance locations.

- CBP Innovation – Transformation Strategy and CBSA Renewal (Info from Session Prior to Working Lunch)
  - Note that CBP's Office of Field Operations (OFO) Innovation Center is transforming CBP OFO operations and employee engagement through the development of the infrastructure, processes, and capabilities required for sustained innovation.

- Explain that the Innovation Center was developed to capitalize on the success of the Project Zone which is a mechanism for field-level employees to leverage the expertise of Headquarters analysts, simulation experts, and project managers to assess, develop, pilot, and implement innovative ideas from field-level employees.

➢ Border Five / Migration Five (B5/M5)
- Highlight your interest in furthering operational results among the B5, which could include pursuing more advance information in the postal environment. Relatedly, CBP looks forward to Canadian-led work on e-commerce at the February deep dive sessions.
  - ➢ (b) (5)
    - (b) (5), (b) (7)(E)
    - Offshore Supply Registrations which affect revenue collection and remits.
  - ➢ Note that the United States looks forward to a Canadian discussion paper on Fentanyl detection methods, including K-9 training development, for the February deep dive sessions. Fentanyl is of primary concern to all B5 members as a major risk within the postal environment, both as an illicit substance and as a dangerous substance for border and postal authorities who could come into contact with it.
- (b) (5)
- (b) (5)

Other Possible Subjects to Discuss During Working Lunch

➢ E-Commerce
- E-Commerce is growing exponentially with dynamic changes in business models across nearly all industry sectors, posing unique challenges for Customs administrations and tax authorities. For example, Intellectual Property Right-related seizures continue to rise, with nearly 32,000 seizures last year, compared to just over 3,000 seizures in Fiscal Year 2000 and 90% of these seizures take place in traditional e-commerce environments.
- To combat issues such as these, CBP has developed an e-commerce strategy that consists of a three-pronged approach involving stakeholder engagement, importer education, and border enforcement.
- CBP would like to partner with CBSA to help educate small and medium-sized businesses on Customs laws and compliance matters, as well as educate rights holders on the protection of IPR.
- Additionally, CBP would like to conduct joint enforcement e-commerce operations with CBSA, especially in the area of IPR enforcement.

➢ Import Safety Enforcement
- As consumer products entering both countries may easily originate from the same foreign source, information sharing on these products found in violation of consumer product

safety regulation will assist in mutual targeting and keep these high risk shipments out of both the United States and Canada.

ATTACHMENTS:

- Issue Papers *(In JSEM Briefing Book)*

Prepared by: Briar Dunn, Office of International Affairs, (b) (6), (b) (7)(C) **Date:** October 26, 2018

OPEN SOURCE DATA ANALYTICS

Goals for the Discussion

- CBP/CBSA joint data collection and analytics integration.
- Two primary use cases which represent priorities for both CBP and CBSA also offer opportunities for focusing the implementation of joint data analytics capabilities towards tangible operational goals:
  - (b) (7)(E)
    - (b) (7)(E)
    - **Desired operational outcome**: (b) (7)(E), (b) (5)
  - Fentanyl Distribution Network Detection and Mitigation
    - Leverage joint seizure data for more aggressive analysis and predictive targeting;
    - **Desired operational outcome:** CBP/CBSA agreement to engage directly on the movement and distribution of Fentanyl, informed by the various data analytics capabilities referenced below.
  - (b) (7)(E) (b) (7)(E), (b) (5)

Talking Points:

- The rapid growth of technology creates both challenges and opportunities for border management and our mutual national security. Technology offers opportunities as a force-multiplier to increases situational awareness and targeting. It can also help make borders more efficient. Within this space, Data Analytics can play a major role in in our ability to:
  - Target and detect individuals illegally crossing the border;
  - Target and detect dangerous goods and materials concealed in cargo and vehicles; and,
  - Detect and mitigate illegal activity in the air and maritime domains.
- CBP's approach to the operationalization of Data Analytics currently focuses on three distinct but complementary areas:

Prepared by: (b) (6), (b) (7)(C) OFO (b) (7)(E) (b) (6), (b) (7)(C)
Date: October 26, 2018

- *Rapid Development* – Data analytics-based targeting and analysis tools pushed into operations while in beta, in order to allow for expedited identification of problems and incorporation into CBP's various operations for optimal effect.
    - **Desired strategic outcome**: connect CBP (b) (7)(E) (b) (7)(E) (b) (7)(E) with CBSA equivalents
- *Enterprise Development* – Data analytics-based modifications to CBP-wide systems to more fully (and permanently) incorporate data analytics into CBP's (b) (7)(E)
    - **Desired strategic outcome**: Offer further support for joint development efforts of Enterprise-wide programs between CBSA and CBP OIT TASPD.
- *All Source Integration* – CBP has directed substantial time toward the identification of new commercially available data sets and tools of value to its (b) (7)(E) and the incorporation of the same into its operations.
    - **Desired strategic outcome:** Offer support for CBSA efforts to assess and enhance the use of commercial tools and datasets that may help further CBSA operations, as well as support for joint operations related to (b) (7)(E) and Fentanyl movements.

Background

- CBP and CBSA have a strong history of partnership at senior levels, as well as across our respective organizations, on a variety of efforts:
    - Information Sharing practices (*ex.* CBSA's (b) (7)(E) and (b) (7)(E));
    - Traveler Sharing programs (*ex.* NEXUS optimal fee development; Trilateral Trusted Traveler; Electronic Travel Authorization);
    - Cargo Programs (*ex.* Trusted Trader and PIP/C-TPAT Harmonization); and,
    - Law Enforcement Cooperation (*ex.* Northern Border Coordination Center; Cross Border Law Enforcement Advisory Committee; Integrated Border Enforcement Teams)
- OIT's (b) (7)(E) Program Directorate and the CBP (b) (7)(E) directly engage with CBSA on a variety of data analytics issues such as predictive modeling and synthetic data.

Watch Out For / If Asked

- (b) (7)(E), (b) (5) (b) (7)(E)

Prepared by: (b) (6), (b) (7)(C) OFO (b) (7)(E) (b) (6), (b) (7)(C)
Date: October 26, 2018

Antidumping and Countervailing Duties Enforcement Cooperation with Canada

Goals for the discussion:

- Seek a commitment to continue to identify common AD/CVD threats faced by both U.S. Customs and Border Protection and Canada Border Services Agency. Fundamental to this discussion is the need to collaborate to exchange updated information on common products and countries which are subject to AD/CVD measures in both countries.
- Point out the importance of the ongoing cooperation and dialogue between CBP and CBSA on AD/CVD enforcement to protect North American national economic security.
- Acknowledge the enhanced AD/CVD cooperation under the provisions of the U.S.-Mexico-Canada Agreement, and stress the commitment to partner with the CBSA on carrying out this agreement, when ratified.
- CBP would like to continue sharing information and best practices to support AD/CVD trade enforcement efforts of both the U.S. and Canada, involving imports of commodities such as steel.

Talking Points:

- U.S. Customs and Border Protection (CBP) and Canada Border Services Agency (CBSA) have a common interest to protect our countries national economic security by enforcing antidumping and countervailing duty (AD/CVD) laws.
- CBP and CBSA share information under our Customs Mutual Assistance Agreement (CMAA) and other memoranda of understanding (MOUs). Our administrations also share best practices and participate in joint trade enforcement efforts with Mexican Servicio De Administracion Tributaria (SAT) involving steel imports from China subject to AD/CVD in all three countries.
- CBP, CBSA, and SAT work together through a biannual trilateral steel customs dialogue to address mutual concerns with enforcement of AD/CVD on steel imports affecting our economies and steel industries throughout the North American region. These meetings are held in conjunction with the biannual North American Steel Committee (NASTC) meeting with government officials and steel industry representatives from the United States, Mexico and Canada.
- The trilateral steel customs dialogue provides opportunities for sharing of information and best practices on AD/CVD steel enforcement, and agreement on joint AD/CVD steel enforcement operations.
- On September 30, the United States, Canada, and Mexico reached a new US-Mexico-Canada Agreement (USMCA) to replace the North American Free Trade Agreement, which includes novel and ambitious provisions to combat AD/CVD evasion.
    - Specifically, these provisions aim to foster greater customs-to-customs cooperation to identify and address AD/CVD evasion through greater sharing of confidential trade

Prepared by: (b) (6), (b) (7)(C) Director, AD/CVD Division, OT, (b) (6), (b) (7)(C)
Date: October 26, 2018

information, joint operations and investigations into duty evasion, and verification visits to facilities in all three countries to assess production capability and capacity.

- In recognition of these ambitious provision, CBP and CBSA should undertake the following:
  - Develop any new processes or procedures necessary to share confidential import, export, and in-transit trade data necessary to identify duty evasion;
  - Jointly consider any sectors or commodities ripe for joint analysis, operations, and investigations;
  - Consider any necessary procedures to facilitate verification visits to manufacturing sites in Canada or the United States; and
  - Exchange best practices in identifying duty evasion, including through transshipment schemes.

Background:

- February 2018, CBP and CBSA participated in the trilateral customs steel dialogue meeting hosted by SAT in Mexico City, prior to the North American Steel Trade Committee meeting with government officials and steel industry representatives.
- CBP and CBSA increased AD/CVD enforcement cooperation for steel products to protect the North American steel industry injured by imports sold at unfairly low prices and in some cases, subsidized by foreign governments.
- CBP, CBSA and SAT implemented two trilateral AD/CVD steel operations targeting threats to the United States, Canada, and Mexico on imports of oil country tubular goods (OCTG) and seamless pipe. As part of these operations, in February 2018, the three countries shared import related information to address AD/CVD evasion concerns pursuant to the CMAA.

WATCH OUT FOR/IF ASKED

- If questions or concerns regarding Section 232 policy are raised:
  - CBP is charged with administering Section 232 tariffs at the border. Any inquiries about steel and aluminum tariff policies should be directed to the U.S. Department of Commerce and U.S. Trade Representative.

Prepared by: (b) (6), (b) (7)(C) Director, AD/CVD Division, OT, (b) (6), (b) (7)(C)
Date: October 26, 2018

E-COMMERCE CHALLENGES AND COLLABORATION WITH CANADA

Goals for the discussion:

- CBP is working to build partnerships with companies and customs counterparts around the world to address the risks posed by the increases shipping volumes due to the expansion of E-Commerce. CBP is also conducting an IPR consumer awareness campaign in major airports designed to alert travelers of the dangers associated with purchasing counterfeit goods.
- We are interested in working together to enhance border enforcement to prevent illicit goods from entering our economies. CBP is conducting regular in depth discussion with key trade partners to understand the different supply chains and business models used by e-commerce companies. The goal of these discussions is to enable CBP to update its traditional approach and build additional capabilities to address risks associated with e-commerce. CBP is interested in discussing what Canada is doing to address risks associated with e-commerce (e.g. enforcement, consumer education, etc). and what can we do to address these areas of risks together? CBP is interested in working with Canada to understand how the supply chains and various business models of major e-commerce companies are resulting in new approaches by purveyors of illicit goods to move them across our two borders.
- CBP is also interested in discussing how both countries can work together to partner with major e-commerce companies on both facilitation and enforcement issues.

Talking Points:

- One of the greatest changes U.S. Customs and Border Protection (CBP) has witnessed is the rise and growth of E-Commerce, and the impact that it has had on virtually every level of the supply chain. It is changing the way CBP does business and may be one of the greatest changes the agency has experienced since the introduction of containerized freight. The growth of cross-border e-commerce trade has brought both tremendous economic benefit, as well as new and dynamic challenges for trade facilitation and security.
- The numbers are staggering:
  - The number of Americans shopping online has nearly quadrupled since 2000, jumping from 22 percent of the population to 79 percent. In addition, the global e-commerce market is now $2.29 trillion in sales.
  - Sales generated through online retailers and third party marketplaces have continued to drive the increase of small parcels entering the U.S.
    A record-high half-billion international postal shipments entered the U.S. in FY 2017, along with 110 million express shipments.
  - Year after year, CBP sees a steady increase in e-commerce-related seizures, including seizures for intellectual property rights (IPR) violations, consumer safety, and illicit goods. For example, nearly 90 percent of IPR seizures (by count) take place in the international mail and express environments.

Prepared by: [redacted] Acting Director, IPR and E-Commerce Branch, OT (b) (6), (b) (7)(C)
Date: Updated October 26, 2018

- The increase in low-value, small packages has made it difficult for CBP to (b) (7)(E) (b) (7)(E)
- On March 6, 2018, CBP released an e-commerce strategic plan focusing on creating a more agile CBP that can adapt to challenges in the e-commerce environment.
- CBP is eager to exchange ideas and strategies with Canadian leadership on addressing the challenges posed by the growth of e-commerce in North America.
  - The United States seeks to better understand Canada's processes for enforcing violations in the small package environment.
  - CBP looks forward to opportunities for collaboration to further our mutual interests in security, trade facilitation, trade enforcement, and economic prosperity.
- Canada continues to be a strong partner in multilateral e-commerce standards development as part of the World Customs Organization (WCO) and B5 working groups.
  - CBP is committed to developing and promoting e-commerce standards that reflect international consensus, as well as the interests of the United States and its closest trade partners, including Canada.

Background:

- On March 6, 2018, CBP released an e-commerce strategic plan focusing on creating a more agile CBP that can adapt to challenges in the e-commerce environment. To address these and other challenges, CBP's E-Commerce Strategy lays out four major goals:
  - *Goal 1: Enhance Legal and Regulatory Authorities to Better Posture CBP and Interagency Partners to Address Emerging Threats*
  - *Goal 2: Enhance and Adapt All Affected CBP Operations to Respond to Emerging Supply Chain Dynamics Created by the Rapid Growth of E-Commerce*
  - *Goal 3: Drive Private Sector Compliance through Enforcement Resources and Incentives*
  - *Goal 4: Facilitate International Trade Standards for E-Commerce to Support Economic Prosperity*
- Educating consumers on the risks associated with e-commerce purchases is also an important part of CBP's overall approach. CBP has devoted resources to several key issues affecting consumers utilizing e-commerce, including counterfeits and consumer safety.
  - The third phase of the "The Truth Behind Counterfeits" campaign ran at six airports from June 25, to August 18, 2018 (Detroit, Atlanta, Chicago, Seattle, Philadelphia, and Fort Lauderdale), as well as on several online travel sites. The campaign is aimed at building consumer awareness of the risks of purchasing counterfeit goods, especially when shopping online.
- CBP continues its active engagement at the WCO on E-Commerce. The United States provided substantial comments to the WCO draft Cross Border E-Commerce Framework of Standards and supporting documents. CBP attended working group meetings in April and June 2018.

Prepared by: (b) (6), (b) (7)(C) Acting Director, IPR and E-Commerce Branch, OT (b) (6), (b) (7)(C)
Date: Updated October 26, 2018

- During the June 2018 Policy Council and Policy Commission meetings, the WCO granted a one-year extension for the e-commerce work. The United States supported the adoption of the Framework of Standards with the caveat that timelines on the framework package should be more fluid over the next year.
  - The U.S. also participated in three additional WCO group efforts (i.e. Flow Charts and Data Elements, E-Commerce Business Models, and Revenue Collection Models).
  - The E-Commerce working group reconvened in early October 2018 to continue this work.

WATCH OUT FOR/IF ASKED

- What are some specific challenges CBP is facing with e-commerce?
  - (b) (7)(E)
    - In accordance with its E-Commerce Strategy, CBP is working to establish a reliable and accurate compliance measure for the express and postal environments, which facilitate the vast majority of cross-border e-commerce trade. This compliance measure will help CBP segment risk and direct enforcement resources where they are needed most.
  - New trade roles and business models have evolved as a result of e-commerce, some of which are difficult to reconcile with existing trade processes designed for the traditional cargo environment.
    - CBP is working with a wide range of stakeholders to better understand and characterize the variety of business models spawned by e-commerce, as well as new trade facilitation roles unique to e-commerce.
    - Engagement has included dialogue with domestic industry, the Commercial Customs Operations Advisory Committee (COAC), foreign government partners, and with international organizations like WCO and the B5.
    - The results of this work will help CBP determine how its operations can be optimized for the e-commerce environment.
  - (b) (7)(E)

Prepared by: (b) (6), (b) (7)(C) Acting Director, IPR and E-Commerce Branch, OT (b) (6), (b) (7)(C)
Date: Updated October 26, 2018

(b) (6), (b) (7)(C), (b) (7)(E), (b) (5)

(b) (6), (b) (7)(C), (b) (7)(E), (b) (5)

(b) (6), (b) (7)(C), (b) (7)(E), (b) (5)

(b) (6), (b) (7)(C), (b) (7)(E), (b) (5)

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OFFICE OF FIELD OPERATIONS
ADMISSIBILITY AND PASSENGER PROGRAMS
TRUSTED TRAVELER PROGRAMS
NEXUS LINK TO CBP'S EFFORT TO HARMONIZE APPLICATION FEES FOR TRUSTED TRAVELER PROGRAMS

Goals of Discussion:

- CBP and CBSA are in agreement with the following goals to enhance NEXUS operations:
  - An increased NEXUS application fee of $120 with a revised fee split of $40 for CBSA and $80 for CBP;
  - Integration of conditionally-approved NEXUS applicants into CBP's Enrollment on Arrival Program (EoA);
  - Reduction in the number of jointly staffed NEXUS enrollment centers.
- CBSA has agreed to postpone its requirement for public notice of the NEXUS fee change until CBP completes the process for approval of the Notice of Proposed Rulemaking (NPRM) required for harmonization of application fees for CBP's other Trusted Traveler Programs (Global Entry and SENTRI).
- Today's JSEM permits CBP to provide an updated timeline for approval of the NPRM as outlined below:
  - October 2018
    - Approval by C1 and release to DHS for review (up to 90 days).
  - January 2019
    - Completion of DHS review.
  - March 2019
    - S1 approval of NPRM and release to Office of Management and Budget (OMB) for review (60 days).
  - May 2019
    - Completion of OMB review and publication of NPRM for public comment (60 days).
  - July 2019
    - End of comment period for NPRM.
  - August 2019
    - Conclusion of responses to comments.
  - August 2019
    - Approval of the NPRM
    - Publication of Federal Rules Notice (FRN) for Global Entry/SENTRI and an FRN for NEXUS.

NEXUS Background:

- More than 8.2 million travelers are currently enrolled in CBP's four Trusted Traveler Programs (TTP), including 1,760,037 NEXUS members.
  - Of these, 1,341,595 are Canadian citizens.
- FY18 NEXUS enrollment is up nearly 9% over FY17 totals, with an increase of 95% since FY13.

- NEXUS membership includes 1,565,592 travelers who receive Global Entry (GE) benefits.
- TTP HQ and the CBP Office of Trade, Office of Rules and Regulations (ORR) have finalized a revised draft of the Notice of Proposed Rulemaking (NPRM) regarding the Harmonization of Fees and Application Procedures for Global Entry (GE) and SENTRI.
    - This included an updated (2018) economic analysis of the 2015 CBP TTP Fee Study, which recommends a harmonized application fee of $120 for CBP trusted traveler programs.
- Upon final approval of the NPRM, CBP can issue a Federal Rules Notice (FRN) for GE and SENTRI followed by publication of an FRN to announce the revised fee for NEXUS.

Enrollment on Arrival Program (EoA):

- CBP has 109 enrollment centers to process Trusted Traveler interviews, but the success and growth of Global Entry has created a high demand for enrollment center appointments. To address this need, CBP launched Enrollment on Arrival (EoA) in July 2017, providing an alternative to scheduling and waiting for a Global Entry interview. Conditionally approved Global Entry applicants arriving on international flights can now complete their GE enrollment at a primary inspection booth within the Federal Inspection Service area at 47 airports.
- EoA is currently operational at Toronto Vancouver, Edmonton, Calgary, Ottawa, Halifax and Winnipeg Preclearance airports.
- CBP supports the integration of conditionally approved NEXUS applicants into the EoA process as an effort to reduce the costs of managing NEXUS.
- It is an innovation, which would permit CBSA and CBP to reduce the number of jointly staffed NEXUS enrollment centers.
- CBP Trusted Traveler Programs and the CBSA Traveler Program Directorate are working to define terms, locations and public outreach materials to support the integration of NEXUS into EoA.
- As a first step, CBP and CBSA have successfully tested a concept of operations for NEXUS EoA at Toronto Pearson for Air Canada crewmembers; Air Canada crewmembers are able to complete the CBP interview for NEXUS when departing Toronto and complete the CBSA portion upon return to Canada.

Additional NEXUS Projects:

- Trilateral agreement with Mexico
    - Phase I of the trilateral agreement with Canada and Mexico was completed in 2017, opening NEXUS membership to travelers enrolled in Mexico's Viajero Confiable (VC) program.
    - To date, only 29 Mexican VC members have enrolled in NEXUS. CBSA and the Mexican National Migration Institute (INM) are developing an updated marketing campaign to increase VC membership in NEXUS.
    - In October 2018, CBP and INM completed testing of data exchange to support Phase Two of the trilateral, which will permit NEXUS members to apply for VC.

  - INM's VC application website will be able to accept NEXUS applicants as soon as October 30, 2018; CBP, CBSA and INM are working to confirm an official start date pending completion of an Operational Program Plan and English translation of INM's VC site.

- Trilateral agreement with the United Kingdom
  - In July 2107, CBP, CBSA and the UK Border Force (UKBF) signed a joint statement seeking to extend NEXUS eligibility to UK citizens.
  - Discussion on the UK trilateral has been on hiatus pending Canadian agreement on the revised NEXUS application fee split.
  - CBSA and the UK are seeking to resume discussions; a joint call is planned for November 2018.

- Buffalo Niagara International Airport
  - CBP alerted CBSA that U.S. Senator Charles E. Schumer (D-NY) is seeking creation of a new NEXUS enrollment center at Buffalo Niagara International Airport.
  - A new NEXUS enrollment center in Buffalo would require both CBP and CBSA to deploy dedicated staff, which is contrary to CBSA's desire to draw down on the number of existing NEXUS enrollment centers.
  - Additionally, CBP and CBSA currently staff two NEXUS enrollments center within 25 miles of the Buffalo Niagara Airport, both with open appointment schedules, which can support travelers departing from Buffalo Niagara.

Statistics:

- In FY2018, there were over 2.5 million crossings utilizing NEXUS kiosks at Preclearance Airports in Canada and over 6.7 million crossings utilizing the NEXUS dedicated lanes at ports of entry along the northern border.
- Total NEXUS Dedicated Commuter Lane use up from 15.7% in FY 2017 to 16.6% for FY 2018.

Watch Out For/If Asked:

Q: Why does CBSA need to postpone its requirement for public notice regarding the NEXUS fee change?

A: NEXUS, as a bilateral agreement, requires CBP to issue a Federal Rules Notice (FRN) to announce the increased application fee. However, because the increased NEXUS fee is linked to CBP's effort to harmonize application fees for other trusted traveler programs, CBP must first secure approval of a Notice of Proposed Rulemaking (NPRM) for Global Entry and SENTRI before it can issue Federal Rules Notices (FRN) announcing harmonized application fees for all three programs (Global Entry, SENTRI and separately for NEXUS).

Updated: October 26, 2018

Passenger Name Record & Trilateral Coordination
Update for JSEM
10/30/2018

Goals of discussion:

- (b) (5)

Talking Points:

- Thank CBSA for the close collaboration on PNR issues in Washington, Ottawa, and Brussels.
- (b) (5)
- CBP believes that PNR information is a critical tool used to identify persons who may be unknown concerns to law enforcement and assess possible threats to the Homeland, to enable the United States to take appropriate actions to mitigate this threat.
- (b) (7)(E) r
- The U.S. position remains unchanged:
  - CBP will not accept any changes to the amount of PNR data that is currently provided to CBP.
  - CBP opposes renegotiating the 2012 U.S.-European Union (EU) PNR agreement.
  - USG expects the EU to continue to fulfill its obligations under the 2012 U.S.-EU PNR agreement.
  - CBP and the USG will encourage Canada and Mexico to continue to require PNR from flights from the EU and support their position via flight restrictions if necessary.

Background:

Trilateral Efforts

- On April 4, 2018, C1 chaired the Trilateral Operational PNR Meeting in Ft. Lauderdale, FL. The objective was to focus on the building of a consensus between President John Ossowski and Administrator General Francisco Gil Leyva Zambada on moving forward with collection of PNR data with a nexus to the EU.
- The matters discussed included:
  - Identifying core, or "must have" elements of the potential PNR agreements between Canada and the EU, and Mexico and the EU;

  - Understanding the current status of PNR data collection and use by the trilateral members;
  - Identifying ways in which North America can collectively influence multilateral fora; and
  - Reiterating the importance of PNR as a security measure is not likely to have much impact, as there is broad agreement on that.
- Going forward, much of the substantial trilateral work could be duplicated with the B5 to produce a B5 "baseline", noting that this is an area where non-B5 partners may prove useful via coalition building to develop standards within multilateral fora.
- CBP has also worked with the (b) (7)(E) to prioritize countries to engage on PNR within the region.

EU Engagement

- The climate has changed since 2014 Parliamentary vote to request an opinion on the Canada-PNR Agreement text from the European Court of Justice (ECJ), but there are still some political parties that are influential against (Green/extreme left, Euroskeptics) that could rock the political agenda despite central parties being in favor. The EU Commission is cautious as the May 2019 EU Parliamentary elections could influence the political mood and how the EU approaches PNR negotiations.
- On October 18, 2017, the Council of the EU authorized the European Commission to negotiate, on behalf of the EU, a new PNR agreement with Canada.
- CBSA and EU met in September 2018 and made good progress on easier items. Challenges remain on topics such as data retention and post-arrival use of PNR. CBSA's head of delegation for negotiations is Martin Bolduc.
- The PNR Directive requires EU Member States to establish PNR programs, and CBP anticipates there will be at least a half dozen PNR systems in the EU.
- In the wake of the ECJ decision, the B5 have coordinated on PNR issues at all B5 events, updating each other on new legal interpretations, political environments, and in the case of Canada, the legal authority to re-enter negotiation (granted in June 2018).

Watch out for/If Asked:

- (b) (5)
- The US-EU PNR Agreement is set to automatically renew on July 1, 2019.
- Under the US-EU PNR Agreement, a Joint Evaluation was required in 2016. Both parties agreed to postpone the joint evaluation due to the EU's active negotiation of its PNR agreement with Canada.
- During the November Justice and Home Affairs Ministerial, the EU expects a decision from the DHS Secretary to proceed with planning for a Joint Evaluation. If agreed, the evaluation itself would not take place until 2019.
- CBP is still working out the best approach for socializing the PNR Data Collection Principles document during the B5/Migration Five meeting in November.

Prepared by: (b) (6), (b) (7)(C) North America Division, Canada, INA, (b) (6), (b) (7)(C), Director, IOAD, (b) (6), (b) **Date:** October 26, 2018

JOINT SENIOR EXECUTIVE MEETING
Irregular Migration

Goals for the discussion:

- The overarching goal of this discussion is to continue enhancing our coordinated border enforcement efforts.
- Acknowledge Canada Border Services Agency's (CBSA) efforts in jointly addressing the northbound irregular migration that was occurring near (b) (7)(E)
- Indicate that CBP is now seeing an increase of southbound irregular migration exploiting Canada's Electronic Travel Authorization (eTA).
- Express concern that CBP is also experiencing southbound irregular migration via port runners through some Ports of Entry.
    - In turn, there has been some local confusion regarding Safe Third Country and the processing of asylum claims.
- Ask what actions will Canada, writ large, be takin regarding the southbound irregular migration?
- Ask what actions will CBSA be taking regarding port runners and Safe Third?
- Ask what are the current trends used by smugglers to exploit the eTA process?

Overview:

- This is a Joint Senior Executive Meeting with CBP and CBSA to discuss the latest trends on northbound and southbound irregular migration flows and the cooperation between CBP and CBSA to address these matters.
- Chief Provost will lead the discussion accompanied by Vice President Jacques Cloutier, CBSA.
- CBSA President John Ossowski will also be present.

Talking Points:

- The Northbound Migration Flows Working Group is CBP led and comprises representatives from Department of State, DHS Policy, CBSA, Royal Canadian Mounted Police (RCMP), and Immigration, Refugees and Citizenship Canada (IRCC).
- Data analysis on a pilot project for Canada's eTA and DHS Electronic System for Travel Authorization (ESTA) applications to identify possible gaps in information sharing is due November 2018.
- (b) (7)(E)
- USBP apprehensions at the Northern Border for FY19 is 409.
    - Of which 239 were Other than Mexicans (OTMs).
- CBSA's processing of irregular migration and expansion of their biometric collection for eTA and the continued sharing of intelligence products.
- eTA: as of November 2016, visa-exempt travelers to Canada (other than U.S. citizens) are required to apply for and receive an approved eTA.

Staff Responsible for Briefing Memo: (b) (6), (b) (7)(C) Assistant Chief, USBP [redacted] *Oct 26, 2018*

- Canada lifted the visa requirement for United Arab Emirates in June 2018, Bulgaria and Romania in December 2017, and Mexico in December 2016.

Background:

- (b) (7)(E)
  - This information is provided through ongoing collaboration with the US Border Patrol embedded Liaison Officer to the CBSA (Ottawa) and the US Northern Border Coordination Centre.
  - (b) (7)(E)
    - (b) (7)(E)
- Southbound Apprehensions since implementation of eTA up to 10/02/2018:
  - Mexico:
    - 314 apprehensions by USBP
    - 27 made credible fear claims in Canada
    - 247 previously entered Canada on an eTA
  - Romania:
    - 209 apprehensions by USBP
      - 110 since 09/25, particularly through the (b) (7)(E) (Swanton Sector)
    - 115 credible fear claims in Canada
    - 198 entered on an eTA
  - Bulgaria
    - 7 apprehensions by USBP (no refugee claim)
    - All 7 entered with eTA
- (b) (7)(E)
- CBP Reps continue to receive positive feedback from the Integrated Border Enforcement Teams (IBET) highlighting effective communication and information sharing between the U.S and Canada.

Watch Out For/ If Asked:

- (b) (5)
  - DHS Policy is consulting with the State Department for those renegotiations.

Staff Responsible for Briefing Memo: (b) (6), (b) (7)(C) Assistant Chief, USBP (b) (6), (b) (7)(C) *Oct 26, 2018*

- Gray Zone geographic inhibitors: State Department drafted a response to a DIPNOTE in which Houlton Sector concurs with the response, reaffirming USBPs operational objectives within the territorial waters of the U.S.

Staff Responsible for Briefing Memo: (b) (6), (b) (7)(C) Assistant Chief, USBP (b) (6), (b) (7)(C) *Oct 26, 2018*

Preclearance

Goals for the discussion:

- (b) (7)(E)
- CBP requests a response to the questions on the current CBSA firearms policy sent October 16, 2018
- CBP would like a decision from Global Affairs Canada (GAC) on the proposed facial biometric processing pilot in Vancouver as agreed to at the PCG in September

Talking Points:

Firearms

- Firearms protocol signed by U.S. and Canada October 2016.
- (b) (7)(E)

Biometrics

- Facial recognition biometric processing was to be deployed in Vancouver as a pilot in the In-transit area in August 2018
- On August 3, GAC contacted the CBP Attaché requesting a pause on this until an assessment could be completed to determine whether the project falls within the scope of the existing agreement.
- At the recent Preclearance Consultative Group (PCG), Canada agreed to complete its assessment within 30 days of receiving a summary of the pilot, which CBP transmitted on September 21, 2018.

Vetting

- Canada and the U.S. have been having regular discussions on vetting in the air mode since 2016, and there appears to be consensus on an approach.
- A draft Information Sharing Protocol is under review by CBP
- Concurrently explore other processes for the non-air mode including the marine TSC process for Port Metro Vancouver
- (b) (7)(E)

Training

- All CBPO's currently assigned to Canada have completed Canadian Charter of Rights and Freedoms training.
- Both CBP and Canada are close to finalizing course content for training on the Preclearance Act of 2016

Protections & Accountabilities

- U.S. hosted Canada in June 2018 for tabletop exercise, where both sides agreed on jurisdiction determinations as well as notification procedures. One unresolved issue concerns the level of notification to be provided by Canada in the situation where a CBP or Canadian Border Services Agency (CBSA) Officer is determined to be involved in an investigation.

Cost Reimbursement & Stakeholder Engagement

- January 2018, joint notification to stakeholders provided on cost recovery
- Canada will have an opportunity to review draft MOUs before they are finalized, at this time while there is tentative agreement on the text of a couple of MOU's, details on staffing numbers and corresponding costs are still under discussion and thus, there has not been any referral for Canada review by stakeholders

Pre-inspection Sites, New Sites & Existing Air Locations

Rail CONOPS

- CONOPS document with CBP Chief Counsel for review, expect return to Canada fall of 2018 for possible finalization

Continuous Law Enforcement Presence

- TC informed CBP and stakeholders in June 2018 that federal funding for LEO presence would be halted November 1, 2018.
- (b) (7)(E)
- A letter was sent to TC from EAC Owen outlining CBP's concerns and intended action to end pre-inspection at pre-inspection sites, unless a reversal of the funding decision is made, or unless TC is able to find a solution to the LEO presence requirement.
- TC has extended the federal funding through January 31, 2019 with no further extensions to be granted. Stakeholders have until mid-December to demonstrate that they have the mechanisms in place to continue providing LEO presence, or CBP will halt pre-inspection operations effective February 1, 2019.
- CBSA is consulting air industry stakeholders to determine industry interest/buy-in

CBP Preclearance Perimeter Paper

- Agreement achieved by Canada and U.S.
- Port Site visits for designation of preclearance perimeter have been completed, with CBP, Canada and airport stakeholders preparing to discuss space designation
- CBP/CBSA to explore options for discussing a possible NEXUS legal framework (this has not been discussed)

Technical Design Standards

- CBP will continue to work with stakeholders to flexibly implement the TDS

Background:

- The Land Rail Marine and Transport Agreement (LRMA) required the enactment of legislation by both countries. On December 16, 2016, the President signed into law the *Promoting Travel, Commerce, and National Security Act of 2016*. A similar bill, *The Preclearance Act of 2016*, was enacted in Canada at the end of 2017, but requires the promulgation of implementing regulations, expected to be in effect by early 2019. At that

point, the United States and Canada anticipate an exchange of notes to bring the LRMA into force.

- Since the signing of the LRMA in 2015, U.S. Customs and Border Protection (CBP) and the government of Canada have collaborated on multiple topic items that need to be resolved for Canada to report to its Ministers that the LRMA is ready for entry into force.
- Canada seeks to apply LRMA entry into force in three (3) phases: Air modes, Non-air modes, and reciprocal preclearance (Canada operating preclearance in U.S.)

WATCH OUT FOR/IF ASKED

- CBSA is currently seeking permanent carriage authority through the legislative process. There is no guarantee that this authority will be granted as CBSA does not have the support of Transport Canada. A link to the political and governmental decisions within Canada on the firearms issue for CBSA follows: https://www.cbc.ca/news/politics/handguns-border-officers-transport-airport-regulations-sidearms-pco-cbsa-1.4770336
- (b) (7)(E)
- A total of 15 incidents between March 2015 and August 2018 have been documented illustrating times where armed LEO presence was needed to assist in the Victoria locations.
- (b) (7)(E)
  - (b) (7)(E)

BORDER OF THE FUTURE

GOALS FOR DISCUSSION:

(b) (5)

(b) (5)

TALKING POINTS:

- Express continued support for this effort.
- (b) (5)

- (b) (5)

WATCH OUT FOR/IF ASKED:

- (b) (5)

BACKGROUND:

- (b) (5)

- (b) (5)
- (b) (5)
  - (b) (5)

- The United States (and perhaps Australia and the UK) desires mutually implementing similar compliance and security requirements into our AEO programs that could help expedite trade to all our nations, and combat U.S. priority issues such as forced labor.
  - (b) (5)

- (b) (5)
- (b) (5)
- (b) (5)
- (b) (5)

- The FCM met in August 2018, and their outcomes from that meeting are below:
  - Ministers endorsed the Border of the Future Strategic Vision 2030.

(b) (5)

- Potential Initiatives of the newly approved 2030 Strategic Vision are outlined below:
  - (b) (5)

Prepared by: (b) (6), (b) (7)(C) INA/(b) (6), (b) (7)(C)
Date: October 25, 2018

JOINT SENIOR EXECUTIVE MEETING
WORKING LUNCH HOSTED BY
CUSTOMS AND BORDER PROTECTION (CBP)
October 30, 2018
11:30 am – 1:15 pm
U.S. Customs House, 200 Chestnut Street
Philadelphia, Pennsylvania, USA

OVERVIEW:

- Structured to be a free-flowing discussion and exchange of ideas.
- Brainstorming strategy session on the future of border management and areas of collaboration.
- Duration: 1 Hour, 45 Minutes

DISCUSSION POINTS:

- Modernized Borders
  - Share that CBP is deploying facial recognition and biometric technologies along with enhancing foreign partnerships to verify travelers' identities – both when they arrive and when they leave the United States – by matching a traveler to the document they are presenting. CBP's goal is to enhance national security and protect a traveler's identity against theft.
  - (b) (7)(E)
  - (b) (7)(E)
  - (b) (5), (b) (7)(E) rts, er.
  - While similar discussions have been ongoing with the Government of Mexico, CBP remains confident that our bi-national deliberations will also result in new opportunities for biographical data exchange.
  - (b) (5)
  - Convey CBP's desire to implement the facial recognition pilot in Vancouver that it is already running in four other preclearance locations.

- CBP Innovation – Transformation Strategy and CBSA Renewal (Info from Session Prior to Working Lunch)
  - Note that CBP's Office of Field Operations (OFO) Innovation Center is transforming CBP OFO operations and employee engagement through the development of the infrastructure, processes, and capabilities required for sustained innovation.

- Explain that the Innovation Center was developed to capitalize on the success of the Project Zone which is a mechanism for field-level employees to leverage the expertise of Headquarters analysts, simulation experts, and project managers to assess, develop, pilot, and implement innovative ideas from field-level employees.

➢ Border Five / Migration Five (B5/M5)
- Highlight your interest in furthering operational results among the B5, which could include pursuing more advance information in the postal environment. Relatedly, CBP looks forward to Canadian-led work on e-commerce at the February deep dive sessions.
  - ➢ (b) (5)
    - (b) (5), (b) (7)(E)
    - Offshore Supply Registrations which affect revenue collection and remits.
  - ➢ Note that the United States looks forward to a Canadian discussion paper on Fentanyl detection methods, including K-9 training development, for the February deep dive sessions. Fentanyl is of primary concern to all B5 members as a major risk within the postal environment, both as an illicit substance and as a dangerous substance for
- (b) (5)

Other Possible Subjects to Discuss During Working Lunch

➢ E-Commerce
- E-Commerce is growing exponentially with dynamic changes in business models across nearly all industry sectors, posing unique challenges for Customs administrations and tax authorities. For example, Intellectual Property Right-related seizures continue to rise, with nearly 32,000 seizures last year, compared to just over 3,000 seizures in Fiscal Year 2000 and 90% of these seizures take place in traditional e-commerce environments.
- To combat issues such as these, CBP has developed an e-commerce strategy that consists of a three-pronged approach involving stakeholder engagement, importer education, and border enforcement.
- CBP would like to partner with CBSA to help educate small and medium-sized businesses on Customs laws and compliance matters, as well as educate rights holders on the protection of IPR.
- Additionally, CBP would like to conduct joint enforcement e-commerce operations with CBSA, especially in the area of IPR enforcement.

➢ Import Safety Enforcement
- As consumer products entering both countries may easily originate from the same foreign source, information sharing on these products found in violation of consumer product

safety regulation will assist in mutual targeting and keep these high risk shipments out of both the United States and Canada.

ATTACHMENTS:

- Issue Papers *(In JSEM Briefing Book)*

Prepared by: (b) (6), (b) (7)(C) Office of International Affairs, (b) (6), (b) (7)(C) **Date:** October 26, 2018

OPEN SOURCE DATA ANALYTICS

Goals for the Discussion

- CBP/CBSA joint data collection and analytics integration.
- Two primary use cases which represent priorities for both CBP and CBSA also offer opportunities for focusing the implementation of joint data analytics capabilities towards tangible operational goals:
  - (b) (7)(E)
    - (b) (7)(E)
    - **Desired operational outcome**: (b) (5), (b) (7)(E) .
  - Fentanyl Distribution Network Detection and Mitigation
    - Leverage joint seizure data for more aggressive analysis and predictive targeting;
    - **Desired operational outcome:** CBP/CBSA agreement to engage directly on the movement and distribution of Fentanyl, informed by the various data analytics capabilities referenced below.
  - (b) (7)(E) (b) (5), (b) (7)(E) (b) (7)(E) (b) (7)(E)

Talking Points:

- The rapid growth of technology creates both challenges and opportunities for border management and our mutual national security. Technology offers opportunities as a force-multiplier to increases situational awareness and targeting. It can also help make borders more efficient. Within this space, Data Analytics can play a major role in in our ability to:
  - Target and detect individuals illegally crossing the border;
  - Target and detect dangerous goods and materials concealed in cargo and vehicles; and,
  - Detect and mitigate illegal activity in the air and maritime domains.
- CBP's approach to the operationalization of Data Analytics currently focuses on three distinct but complementary areas:

Prepared by: (b) (6), (b) (7)(C) OFO (b) (7)(E) (b) (6), (b) (7)(C)
Date: October 26, 2018

- *Rapid Development* – Data analytics-based targeting and analysis tools pushed into operations while in beta, in order to allow for expedited identification of problems and incorporation into CBP's various operations for optimal effect.
    - **Desired strategic outcome**: connect CBP (b) (7)(E) (b) (7)(E) (b) (7)(E) with CBSA equivalents
- *Enterprise Development* – Data analytics-based modifications to CBP-wide systems to more fully (and permanently) incorporate data analytics into CBP's (b) (7)(E)
    - **Desired strategic outcome**: Offer further support for joint development efforts of Enterprise-wide programs between CBSA and CBP OIT TASPD.
- *All Source Integration* – CBP has directed substantial time toward the identification of new commercially available data sets and tools of value to its (b) (7)(E) and the incorporation of the same into its operations.
    - **Desired strategic outcome:** Offer support for CBSA efforts to assess and enhance the use of commercial tools and datasets that may help further CBSA operations, as well as support for joint operations related to (b) (7)(E) and Fentanyl movements.

Background

- CBP and CBSA have a strong history of partnership at senior levels, as well as across our respective organizations, on a variety of efforts:
    - Information Sharing practices (*ex.* CBSA's (b) (7)(E) and (b) (7)(E));
    - Traveler Sharing programs (*ex.* NEXUS optimal fee development; Trilateral Trusted Traveler; Electronic Travel Authorization);
    - Cargo Programs (*ex.* Trusted Trader and PIP/C-TPAT Harmonization); and,
    - Law Enforcement Cooperation (*ex.* Northern Border Coordination Center; Cross Border Law Enforcement Advisory Committee; Integrated Border Enforcement Teams)
- OIT's (b) (7)(E) Program Directorate and the CBP (b) (7)(E) directly engage with CBSA on a variety of data analytics issues such as predictive modeling and synthetic data.

Watch Out For / If Asked

- (b) (7)(E), (b) (5)

Prepared by: (b) (6), (b) (7)(C) OFO (b) (7)(E), (b) (6), (b) (7)(C)
Date: October 26, 2018

Antidumping and Countervailing Duties Enforcement Cooperation with Canada

Goals for the discussion:

- Seek a commitment to continue to identify common AD/CVD threats faced by both U.S. Customs and Border Protection and Canada Border Services Agency. Fundamental to this discussion is the need to collaborate to exchange updated information on common products and countries which are subject to AD/CVD measures in both countries.
- Point out the importance of the ongoing cooperation and dialogue between CBP and CBSA on AD/CVD enforcement to protect North American national economic security.
- Acknowledge the enhanced AD/CVD cooperation under the provisions of the U.S.-Mexico-Canada Agreement, and stress the commitment to partner with the CBSA on carrying out this agreement, when ratified.
- CBP would like to continue sharing information and best practices to support AD/CVD trade enforcement efforts of both the U.S. and Canada, involving imports of commodities such as steel.

Talking Points:

- U.S. Customs and Border Protection (CBP) and Canada Border Services Agency (CBSA) have a common interest to protect our countries national economic security by enforcing antidumping and countervailing duty (AD/CVD) laws.
- CBP and CBSA share information under our Customs Mutual Assistance Agreement (CMAA) and other memoranda of understanding (MOUs). Our administrations also share best practices and participate in joint trade enforcement efforts with Mexican Servicio De Administracion Tributaria (SAT) involving steel imports from China subject to AD/CVD in all three countries.
- CBP, CBSA, and SAT work together through a biannual trilateral steel customs dialogue to address mutual concerns with enforcement of AD/CVD on steel imports affecting our economies and steel industries throughout the North American region. These meetings are held in conjunction with the biannual North American Steel Committee (NASTC) meeting with government officials and steel industry representatives from the United States, Mexico and Canada.
- The trilateral steel customs dialogue provides opportunities for sharing of information and best practices on AD/CVD steel enforcement, and agreement on joint AD/CVD steel enforcement operations.
- On September 30, the United States, Canada, and Mexico reached a new US-Mexico-Canada Agreement (USMCA) to replace the North American Free Trade Agreement, which includes novel and ambitious provisions to combat AD/CVD evasion.
    - Specifically, these provisions aim to foster greater customs-to-customs cooperation to identify and address AD/CVD evasion through greater sharing of confidential trade

Prepared by: (b) (6), (b) (7)(C) Director, AD/CVD Division, OT, (b) (6), (b) (7)(C)
Date: October 26, 2018

information, joint operations and investigations into duty evasion, and verification visits to facilities in all three countries to assess production capability and capacity.

- In recognition of these ambitious provision, CBP and CBSA should undertake the following:
  - Develop any new processes or procedures necessary to share confidential import, export, and in-transit trade data necessary to identify duty evasion;
  - Jointly consider any sectors or commodities ripe for joint analysis, operations, and investigations;
  - Consider any necessary procedures to facilitate verification visits to manufacturing sites in Canada or the United States; and
  - Exchange best practices in identifying duty evasion, including through transshipment schemes.

Background:

- February 2018, CBP and CBSA participated in the trilateral customs steel dialogue meeting hosted by SAT in Mexico City, prior to the North American Steel Trade Committee meeting with government officials and steel industry representatives.
- CBP and CBSA increased AD/CVD enforcement cooperation for steel products to protect the North American steel industry injured by imports sold at unfairly low prices and in some cases, subsidized by foreign governments.
- CBP, CBSA and SAT implemented two trilateral AD/CVD steel operations targeting threats to the United States, Canada, and Mexico on imports of oil country tubular goods (OCTG) and seamless pipe. As part of these operations, in February 2018, the three countries shared import related information to address AD/CVD evasion concerns pursuant to the CMAA.

WATCH OUT FOR/IF ASKED

- If questions or concerns regarding Section 232 policy are raised:
  - CBP is charged with administering Section 232 tariffs at the border. Any inquiries about steel and aluminum tariff policies should be directed to the U.S. Department of Commerce and U.S. Trade Representative.

Prepared by: (b) (6), (b) (7)(C) Director, AD/CVD Division, OT, (b) (6), (b) (7)(C)
Date: October 26, 2018

E-COMMERCE CHALLENGES AND COLLABORATION WITH CANADA

Goals for the discussion:

- CBP is working to build partnerships with companies and customs counterparts around the world to address the risks posed by the increases shipping volumes due to the expansion of E-Commerce. CBP is also conducting an IPR consumer awareness campaign in major airports designed to alert travelers of the dangers associated with purchasing counterfeit goods.
- We are interested in working together to enhance border enforcement to prevent illicit goods from entering our economies. CBP is conducting regular in depth discussion with key trade partners to understand the different supply chains and business models used by e-commerce companies. The goal of these discussions is to enable CBP to update its traditional approach and build additional capabilities to address risks associated with e-commerce. CBP is interested in discussing what Canada is doing to address risks associated with e-commerce (e.g. enforcement, consumer education, etc). and what can we do to address these areas of risks together? CBP is interested in working with Canada to understand how the supply chains and various business models of major e-commerce companies are resulting in new approaches by purveyors of illicit goods to move them across our two borders.
- CBP is also interested in discussing how both countries can work together to partner with major e-commerce companies on both facilitation and enforcement issues.

Talking Points:

- One of the greatest changes U.S. Customs and Border Protection (CBP) has witnessed is the rise and growth of E-Commerce, and the impact that it has had on virtually every level of the supply chain. It is changing the way CBP does business and may be one of the greatest changes the agency has experienced since the introduction of containerized freight. The growth of cross-border e-commerce trade has brought both tremendous economic benefit, as well as new and dynamic challenges for trade facilitation and security.
- The numbers are staggering:
  - The number of Americans shopping online has nearly quadrupled since 2000, jumping from 22 percent of the population to 79 percent. In addition, the global e-commerce market is now $2.29 trillion in sales.
  - Sales generated through online retailers and third party marketplaces have continued to drive the increase of small parcels entering the U.S.
    A record-high half-billion international postal shipments entered the U.S. in FY 2017, along with 110 million express shipments.
  - Year after year, CBP sees a steady increase in e-commerce-related seizures, including seizures for intellectual property rights (IPR) violations, consumer safety, and illicit goods. For example, nearly 90 percent of IPR seizures (by count) take place in the international mail and express environments.

Prepared by: (b) (6), (b) (7)(C) Acting Director, IPR and E-Commerce Branch, OT (b) (6), (b) (7)(C)
Date: Updated October 26, 2018

- The increase in low-value, small packages has made it difficult for CBP to (b) (7)(E) (b) (7)(E)
- On March 6, 2018, CBP released an e-commerce strategic plan focusing on creating a more agile CBP that can adapt to challenges in the e-commerce environment.
- CBP is eager to exchange ideas and strategies with Canadian leadership on addressing the challenges posed by the growth of e-commerce in North America.
  - The United States seeks to better understand Canada's processes for enforcing violations in the small package environment.
  - CBP looks forward to opportunities for collaboration to further our mutual interests in security, trade facilitation, trade enforcement, and economic prosperity.
- Canada continues to be a strong partner in multilateral e-commerce standards development as part of the World Customs Organization (WCO) and B5 working groups.
  - CBP is committed to developing and promoting e-commerce standards that reflect international consensus, as well as the interests of the United States and its closest trade partners, including Canada.

Background:

- On March 6, 2018, CBP released an e-commerce strategic plan focusing on creating a more agile CBP that can adapt to challenges in the e-commerce environment. To address these and other challenges, CBP's E-Commerce Strategy lays out four major goals:
  - *Goal 1: Enhance Legal and Regulatory Authorities to Better Posture CBP and Interagency Partners to Address Emerging Threats*
  - *Goal 2: Enhance and Adapt All Affected CBP Operations to Respond to Emerging Supply Chain Dynamics Created by the Rapid Growth of E-Commerce*
  - *Goal 3: Drive Private Sector Compliance through Enforcement Resources and Incentives*
  - *Goal 4: Facilitate International Trade Standards for E-Commerce to Support Economic Prosperity*
- Educating consumers on the risks associated with e-commerce purchases is also an important part of CBP's overall approach. CBP has devoted resources to several key issues affecting consumers utilizing e-commerce, including counterfeits and consumer safety.
  - The third phase of the "The Truth Behind Counterfeits" campaign ran at six airports from June 25, to August 18, 2018 (Detroit, Atlanta, Chicago, Seattle, Philadelphia, and Fort Lauderdale), as well as on several online travel sites. The campaign is aimed at building consumer awareness of the risks of purchasing counterfeit goods, especially when shopping online.
- CBP continues its active engagement at the WCO on E-Commerce. The United States provided substantial comments to the WCO draft Cross Border E-Commerce Framework of Standards and supporting documents. CBP attended working group meetings in April and June 2018.

Prepared by: (b) (6), (b) (7)(C) Acting Director, IPR and E-Commerce Branch, OT (b) (6), (b) (7)(C)
Date: Updated October 26, 2018

- During the June 2018 Policy Council and Policy Commission meetings, the WCO granted a one-year extension for the e-commerce work. The United States supported the adoption of the Framework of Standards with the caveat that timelines on the framework package should be more fluid over the next year.
  - The U.S. also participated in three additional WCO group efforts (i.e. Flow Charts and Data Elements, E-Commerce Business Models, and Revenue Collection Models).
  - The E-Commerce working group reconvened in early October 2018 to continue this work.

WATCH OUT FOR/IF ASKED

- What are some specific challenges CBP is facing with e-commerce?
  - (b) (7)(E)
    - In accordance with its E-Commerce Strategy, CBP is working to establish a reliable and accurate compliance measure for the express and postal environments, which facilitate the vast majority of cross-border e-commerce trade. This compliance measure will help CBP segment risk and direct enforcement resources where they are needed most.
  - New trade roles and business models have evolved as a result of e-commerce, some of which are difficult to reconcile with existing trade processes designed for the traditional cargo environment.
    - CBP is working with a wide range of stakeholders to better understand and characterize the variety of business models spawned by e-commerce, as well as new trade facilitation roles unique to e-commerce.
    - Engagement has included dialogue with domestic industry, the Commercial Customs Operations Advisory Committee (COAC), foreign government partners, and with international organizations like WCO and the B5.
    - The results of this work will help CBP determine how its operations can be optimized for the e-commerce environment.

(b) (7)(E)

Prepared by: (b) (6), (b) (7)(C) Acting Director, IPR and E-Commerce Branch, OT (b) (6), (b) (7)(C)
Date: Updated October 26, 2018

CBP/CBSA Land Preclearance
Joint Senior Executive Meeting (JSEM)
October 30, 2018

Goals of discussion:

- (b) (7)(E), (b) (5)
- (b) (7)(E), (b) (5)

Overview:

- On July 26, 2018, U.S. Customs and Border Protection (CBP) and Canada Border Services Agency (CBSA) participated in a Preclearance Colocation Working group meeting in Ottawa, CA, where the objective was to establish the framework and potential pilot sites for (b) (7)(E), (b) (5)
- (b) (7)(E), (b) (5)
  - On October 5, 2018, both CBP and CBSA have agreed to the term "LAND PRECLEARNCE" (b) (7)(E), (b) (5)
- On October 17, 2018 CBP and CBSA have agreed to (b) (7)(E), (b) (5)

Discussion Points:

- (b) (7)(E), (b) (5)
  - (b) (7)(E), (b) (5)
  - (b) (7)(E), (b) (5)
  - CBP proposed the following ports for Land Preclearance operations:
    - (b) (7)(E), (b) (5)
    - (b) (7)(E), (b) (5)

Prepared by: (b) (6), (b) (7)(C) North America Division, Canada, Office of International Affairs, (b) (6), (b) (7)(C) **Date:** October 26, 2018

- CBP Office of Field Operations (OFO) believes there is specific value in running (b) (7)(E), (b) (5) within the purview of a single field office, in order to ensure consistency in the application of pilot procedures and measurements of success. (b) (7)(E), (b) (5) would also present an operational benefit to CBP.

Both CBP and CBSA agree that (b) (7)(E), (b) (5) is not conducive as a pilot site, but is continuing their feasibility study as it may be an option for a permanent land preclearance site in the future, once the pilots have concluded and the successful completion of a proof of concept.

Watch Out For / If Asked:

- (b) (7)(E), (b) (5)
-
-
- (b) (7)(E)
- (b) (7)(E), (b) (5)
  - (b) (7)(E), (b) (5)
  - (b) (7)(E), (b) (5)
    - (b) (7)(E), (b) (5) of
  - (b) (7)(E), (b) (5)
  - (b) (7)(E), (b) (5)
    - (b) (7)(E), (b) (5)
    -
    -

ATTACHMENTS:

- Maps of (b) (7)(E), (b) (5) Field Office Pilot Sites

Prepared by: (b) (6), (b) (7)(C) North America Division, Canada, Office of International Affairs, (b) (6), (b) (7)(C) **Date:** October 26, 2018

Passenger Name Record & Trilateral Coordination

Goals of discussion:

- (b) (5)

Talking Points:

- Thank CBSA for the close collaboration on PNR issues in Washington, Ottawa, and Brussels.
- (b) (5)
- CBP believes that PNR information is a critical tool used to identify persons who may be unknown concerns to law enforcement and assess possible threats to the Homeland, to enable the United States to take appropriate actions to mitigate this threat.
- (b) (7)(E)
- The U.S. position remains unchanged:
  - CBP will not accept any changes to the amount of PNR data that is currently provided to CBP.
  - CBP opposes renegotiating the 2012 U.S.-European Union (EU) PNR agreement.
  - USG expects the EU to continue to fulfill its obligations under the 2012 U.S.-EU PNR agreement.
  - CBP and the USG will encourage Canada and Mexico to continue to require PNR from flights from the EU and support their position via flight restrictions if necessary.

Background:

Trilateral Efforts

- On April 4, 2018, C1 chaired the Trilateral Operational PNR Meeting in Ft. Lauderdale, FL. The objective was to focus on the building of a consensus between President John Ossowski and Administrator General Francisco Gil Leyva Zambada on moving forward with collection of PNR data with a nexus to the EU.
- The matters discussed included:
  - Identifying core, or "must have" elements of the potential PNR agreements between Canada and the EU, and Mexico and the EU;
  - Understanding the current status of PNR data collection and use by the trilateral members;
  - Identifying ways in which North America can collectively influence multilateral fora; and

  - Reiterating the importance of PNR as a security measure is not likely to have much impact, as there is broad agreement on that.
- Going forward, much of the substantial trilateral work could be duplicated with the B5 to produce a B5 "baseline", noting that this is an area where non-B5 partners may prove useful via coalition building to develop standards within multilateral fora.
- CBP has also worked with the (b) (7)(E) to prioritize countries to engage on PNR within the region.

EU Engagement

- The climate has changed since 2014 Parliamentary vote to request an opinion on the Canada-PNR Agreement text from the European Court of Justice (ECJ), but there are still some political parties that are influential against (Green/extreme left, Euroskeptics) that could rock the political agenda despite central parties being in favor. The EU Commission is cautious as the May 2019 EU Parliamentary elections could influence the political mood and how the EU approaches PNR negotiations.
- On October 18, 2017, the Council of the EU authorized the European Commission to negotiate, on behalf of the EU, a new PNR agreement with Canada.
- CBSA and EU met in September 2018 and made good progress on easier items. Challenges remain on topics such as data retention and post-arrival use of PNR. CBSA's head of delegation for negotiations is Martin Bolduc.
- The PNR Directive requires EU Member States to establish PNR programs, and CBP anticipates there will be at least a half dozen PNR systems in the EU.
- In the wake of the ECJ decision, the B5 have coordinated on PNR issues at all B5 events, updating each other on new legal interpretations, political environments, and in the case of Canada, the legal authority to re-enter negotiation (granted in June 2018).

Watch out for/If Asked:

- (b) (5)
- The US-EU PNR Agreement is set to automatically renew on July 1, 2019.
- Under the US-EU PNR Agreement, a Joint Evaluation was required in 2016. Both parties agreed to postpone the joint evaluation due to the EU's active negotiation of its PNR agreement with Canada.
- During the November Justice and Home Affairs Ministerial, the EU expects a decision from the DHS Secretary to proceed with planning for a Joint Evaluation. If agreed, the evaluation itself would not take place until 2019.
- CBP is still working out the best approach for socializing the PNR Data Collection Principles document during the B5/Migration Five meeting in November.

Prepared by: (b) (6), (b) (7)(C) North America Division, Canada, INA, (b) (6), (b) (7)(C), Director, IOAD, (b) (6), (b) **Date:** October 26, 2018

(b) (6), (b) (7)(C)

Subject: Q4 Agency Priority Goals Meeting *new location*
Location: 7&D, Room 4905

Start: Thu 11/15/2018 1:15 PM
End: Thu 11/15/2018 2:15 PM
Show Time As: Tentative

Recurrence: (none)

Meeting Status: Tentatively accepted

Organizer: Grady.Scheduler
Required Attendees: S2 Internal (b) (7)(E) (b) (6), (b) (7)(C)
PROVOST, CARLA (USBP); LUCK, SCOTT A (USBP); HUFFMAN, BENJAMINE C; (b) (6), (b) (7)(C)
MARTIN, JERRY B; (b) (6), (b) (7)(C)

DO NOT FORWARD OR COPY THIS INVITATION
If there are any questions, please contact (b) (6)

Attendees:
(b) (6), (b) (7)(C) Deputy Under Secretary for Management
(b) (6), (b) (7)(C) Senior Counselor to the Secretary
(b) (6), (b) (7)(C) Acting CFO
Carla Provost, Acting Chief, USBP
Scott Luck, Acting Deputy Chief, USBP
Carey Huffman, Chief, Strategic Planning and Analysis Directorate (SPAD), USBP
(b) (6), (b) (7)(C) Executive Director, SPAD, USBP
(b) (6), (b) (7)(C) Assistant Chief, Planning, SPAD, USBP
(b) (6), (b) (7)(C), Director, Planning, SPAD, USBP
(b) (6), (b) (7)(C) Deputy Director, Planning, SPAD, USBP
(b) (6), (b) (7)(C) Management and Program Analyst, Planning, SPAD, USBP
Jerry B. Martin, Blaine Sector Chief, USBP
(b) (6), (b) (7)(C) Deputy Under Secretary, NPPD
(b) (6), (b) (7)(C) Executive Director, Products and Service Delivery Management, DHS/OCIO
(b) (6), (b) (7)(C) Director, Strategy, Policy, and Plans, Office of the Under Secretary (OUS)/NPPD
(b) (6), (b) (7)(C) Deputy Director, Strategy, Policy, and Plans, Office of the Under Secretary (OUS)/NPPD
(b) (6), (b) (7)(C) Assistant Director, Strategy, Policy, and Plans, Office of the Under Secretary (OUS)/NPPD
(b) (6), (b) (7)(C) Senior Program Analyst, Strategy, Policy, and Plans, OUS/NPPD
(b) (6), (b) (7)(C) Director, Strategy Coordination & Management, Cybersecurity and Communications (CS&C)/NPPD
(b) (6), (b) (7)(C) CDM Program Manager, CS&C/NPPD
(b) (6), (b) (7)(C) Director, CFO/PA&E
(b) (6), (b) (7)(C) Deputy Director, CFO/PA&E
(b) (6), (b) (7)(C) Assistant Director for Performance Management, CFO/PA&E
(b) (6), (b) (7)(C) Performance Analyst, CFO/PA&E
(b) (6), (b) (7)(C) Performance Analyst, CFO/PA&E

Briefing Materials:
Yes

Notes:
This meeting is an opportunity for the APG leads (NPPD and USBP) to discuss with DHS leadership the progress and challenges of the implementation of the new APGs.

(b) (6), (b) (7)(C)

Subject: S1 Prep Session

Start: Thu 10/4/2018 9:00 AM
End: Thu 10/4/2018 11:00 AM

Recurrence: (none)

Organizer: PROVOST, CARLA (USBP)

(b) (6), (b) (7)(C)

Subject: S1 prep session for B1
Location: Chief's Teaming Area

Start: Wed 10/3/2018 3:30 PM
End: Wed 10/3/2018 4:30 PM

Recurrence: (none)

Meeting Status: Meeting organizer

Organizer: PROVOST, CARLA (USBP)
Required Attendees: (b) (6), (b) (7)(C) LADOWICZ, JOHN P; (b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)

Subject: Saudi Border Guard delegation visit to USBP HQ
Location: Conference Room (b) (7)(E)

Start: Thu 10/4/2018 11:00 AM
End: Thu 10/4/2018 12:00 PM

Recurrence: (none)

Meeting Status: Meeting organizer

Organizer: PROVOST, CARLA (USBP)
Required Attendees: PROVOST, CARLA (USBP); LUCK, SCOTT A (USBP); HUDSON, RICHARD M; HUFFMAN, BENJAMINE C
Optional Attendees: (b) (6), (b) (7)(C)
Resources: USBP CONFERENCE ROOM (b) (7)(E)

RE: Saudi Border Guard Visit

(b) (6), (b) (7)(C)

From: (b) (6), (b) (7)(C)
Sent: Monday, September 10, 2018 3:54 PM
To: (b) (6), (b) (7)(C)
Cc:
Subject: RE: Saudi Border Guard Visit

That works for us (b) (6), (b) (7)(C) Our conference room will be adequate.

Thank you,

(b) (6), (b) (7)(C)
Assistant Chief
U.S. Border Patrol HQ
(b) (6), (b) (7)(C)

From: (b) (6), (b) (7)(C)
Sent: Monday, September 10, 2018 3:46 PM
To: (b) (6), (b) (7)(C)
Cc: (b) (6), (b) (7)(C)
Subject: RE: Saudi Border Guard Visit

(b) (6), (b) (7)(C)

Thank you. How about the 4th at 10:30. Does that work? Would the B1 conference room be adequate for that number of people 9 + 2 ICE/HIS + 1 or 2 INA. Please let me know so we can make alternative arrangements if the room will not be big enough.

Regards,

(b) (6), (b) (7)(C)
Regional Middle East Program Manager - Jordan, Kuwait, Oman, and Saudi Arabia
International Operations Division
International Affairs
Customs and Border Protection
Department of Homeland Security
O: (b) (6), (b) (7)(C)
C:

Securing the Borders from Beyond

From: (b) (6), (b) (7)(C)
Sent: Monday, September 10, 2018 3:43 PM
To: (b) (6), (b) (7)(C)
Cc:

(b) (6), (b) (7)(C)
Subject: RE: Saudi Border Guard Visit

Good Afternoon (b) (6), (b) (7)(C)

The Chief is available on either day. Is there a time preference?

I have copied B1's adjutant (b) (6), (b) (7)(C) for visibility.

Thank you,

(b) (6), (b) (7)(C)
Assistant Chief
U.S. Border Patrol HQ
(b) (6), (b) (7)(C)

From: (b) (6), (b) (7)(C)
Sent: Monday, September 10, 2018 9:51 AM
To:
Cc: (b) (6), (b) (7)(C)
Subject: Saudi Border Guard Visit

Good morning (b) (6), (b) (7)(C)

We received a request from the ICE attache office in Saudi Arabia requesting availability of the Chief to meet and greet with a Saudi Border Guard delegation on October 4 or 5, 2018. The delegation is headed by the head of the Saudi Border Guard.

Can you please check for us the availability of the Chief to have a meet and greet.

Please let us know. I thank you in advance for your support.

Regards,

(b) (6), (b) (7)(C)
Regional Middle East Program Manager - Jordan, Kuwait, Oman, and Saudi Arabia
International Operations Division
International Affairs
Customs and Border Protection
Department of Homeland Security
O (b) (6), (b) (7)(C)
C:

Securing the Borders from Beyond

(b) (6), (b) (7)(C)

Subject: Saudi Border Guard visit pre-brief
Location: Chief's Teaming Area

Start: Wed 10/3/2018 3:00 PM
End: Wed 10/3/2018 3:30 PM

Recurrence: (none)

Meeting Status: Meeting organizer

Organizer: PROVOST, CARLA (USBP)
Required Attendees: PROVOST, CARLA (USBP); LUCK, SCOTT A (USBP); HUFFMAN, BENJAMINE C; HUDSON, RICHARD M; (b) (6), (b) (7)(C)
Optional Attendees: (b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)

Subject: Tag up w/Chief Provost
Location: Commissioner's Small Conference Room

Start: Tue 10/2/2018 6:15 PM
End: Tue 10/2/2018 6:45 PM

Recurrence: (none)

Meeting Status: Accepted

Organizer: CBP COMMISSIONER SCHEDULER
Required Attendees: PROVOST, CARLA (USBP) (b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)

Subject: Travel to NAC

Start: Thu 10/4/2018 12:15 PM
End: Thu 10/4/2018 1:00 PM
Show Time As: Out of Office

Recurrence: (none)

Organizer: PROVOST, CARLA (USBP)

Categories: Travel

(b) (6), (b) (7)(C)

Subject: Travel to NAC

Start: Thu 10/4/2018 12:15 PM
End: Thu 10/4/2018 1:00 PM
Show Time As: Out of Office

Recurrence: (none)

Organizer: PROVOST, CARLA (USBP)

Categories: Travel

(b) (6), (b) (7)(C)

Subject: Travel to (b) (7)(E)

Start: Wed 10/3/2018 8:45 AM
End: Wed 10/3/2018 9:30 AM

Recurrence: (none)

Organizer: PROVOST, CARLA (USBP)

Categories: Travel

(b) (6), (b) (7)(C)

Subject: Travel to Rayburn in OCA Jeep
Location: Meet at 14th St Entrance

Start: Tue 10/2/2018 2:00 PM
End: Tue 10/2/2018 2:30 PM
Show Time As: Tentative

Recurrence: (none)

Meeting Status: Not yet responded

Organizer: LADOWICZ, JOHN P
Required Attendees: CARLA PROVOST (USBP); (b) (6), (b) (7)(C); EDWARD E YOUNG; (b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)

Subject: Travel to RRB

Start: Thu 10/4/2018 2:00 PM
End: Thu 10/4/2018 2:45 PM
Show Time As: Out of Office

Recurrence: (none)

Organizer: PROVOST, CARLA (USBP)

Categories: Travel

(b) (6), (b) (7)(C)

Subject: Travel to RRB

Start: Tue 10/2/2018 4:00 PM
End: Tue 10/2/2018 4:30 PM

Recurrence: (none)

Organizer: PROVOST, CARLA (USBP)

Categories: Travel

(b) (6), (b) (7)(C)

Subject: US Capitol Police Inaugural Award to CBP
Location: Commissioner's Large Conference Room

Start: Wed 10/17/2018 10:30 AM
End: Wed 10/17/2018 11:00 AM
Show Time As: Tentative

Recurrence: (none)

Meeting Status: Not yet responded

Organizer: CBP DEPUTY COMMISSIONER SCHEDULER
Required Attendees: OC BRIEFING STAFF; (b) (6), (b) (7)(C) PROVOST, CARLA (USBP); LUCK, SCOTT A (USBP); Owen, Todd C (AC OFO); WAGNER, JOHN P; JACKSTA, LINDA L (DEAC OS)
Optional Attendees: (b) (6), (b) (7)(C)

BM: Yes
Lead Office: OS
Lead Office POC: (b) (6), (b) (7)(C)
OC POC: (b) (6), (b) (7)(C)

-Briefing memo that gives quick background/reasoning of the awards being presented to CBP Leadership.
-Briefing memo should include who from Capitol Police will be in attendance. (Names/Titles)

The following will be in attendance for the USCP:
Chief (b) (6), (b) (7)(C)
Assistant Chief (b) (6), (b) (7)(C)
Deputy Chief (b) (6), (b) (7)(C)
Deputy Chief (b) (6), (b) (7)(C)
Inspector (b) (6), (b) (7)(C)

CBP Participants:
C1
(A)C2
Chief Provost
Chief Luck
EAC Owen
DEAC Wagner
DEAC Linda Jacksta

From: (b) (6), (b) (7)(C)
Sent: Wednesday, September 05, 2018 6:18:56 PM
To: (b) (6), (b) (7)(C)
Subject: USCP Inaugural Award/Certificates

(b) (6), (b) (7)(C)

Hope everyone is doing well! I know that it has been awhile, but our Chief's Office has been attempting to coordinate a mutually agreeable date to provide the CBP Leadership with an Inaugural Award from USCP as well as 2 boxes of commendation certificates and pins that are personalized for each of the CBP officers who assisted USCP for the Inauguration. I wanted to reach out and see if any of the below listed dates work for you and your leadership team? I wouldn't estimate it taking more than 30 minutes. You are welcome to come here to our USCP Headquarters at 119 D St. NE or we can gladly come to your place, whatever works best for you and your team. I know that it's taken awhile, but I certainly want to ensure that we recognize your teams for everything they did for USCP. Let me know if the below dates work and who would be attending from your side? Thanks again!

UNITED STATES CAPITOL POLICE

(b) (6)

(b) (6) began his federal law enforcement career in 1985 serving with the Supreme Court of the United States Police. In 1986, he transferred to the United States Capitol Police, and served in a number of roles providing uniformed patrol duties in both the Uniformed Services Bureau and the Patrol/Mobile Response Division. He was promoted to Detective in 1990, and served in the Protective Services Bureau providing dignitary protection, special event planning, and investigative services.

As a sergeant, beginning in 1992, (b) (6) held several assignments on the First Responder Unit and in the Patrol/Mobile Response Division. He also spent four years in the Internal Affairs Division where he conducted both criminal and administrative investigations for the Department.

(b) (6) was promoted to lieutenant in 1998, and was assigned to the Capitol Division where he drafted and implemented major security plans including the operational security plan for the Impeachment Trial of the President, and Senate Chamber security staffing plans. (b) (6) served as the Strategic Planning Division Commander and Accreditation Manager, leading the Department to its first accreditation from the Commission on Accreditation for Law Enforcement Agencies, Inc. (CALEA) in November 2002. During the 2001 Anthrax Remediation initiative, (b) (6) served as an incident command post commander for seven months. In his final assignment as lieutenant, (b) (6) served as the Assistant to the Chief of Police, providing oversight to the Administrative Staff until his promotion to Captain.

In 2004, as Captain and later as Inspector, (b) (6) was assigned to the House Division where he served as the Operations Commander and later as Division Commander, providing operational and administrative leadership to the Department's then-largest and most diverse organizational element. (b) (6) also served as the Chief of Staff for the Assistant Chief where he oversaw staffing initiatives, policy development, and assisted the Assistant Chief in coordinating the activities of all operational units.

Promoted to Deputy Chief in 2008, (b) (6) served as Commander of the Training Services Bureau, and was responsible for Department's in-service and Recruit Officer training; served as Acting Director of the Office of Human Resources, initiating many procedural reforms and internal controls, and also overseeing the human capital portion of the hiring process for the historic merger with the Library of Congress Police. (b) (6) also served as the Acting Chief Administrative Officer overseeing the Office of Administration and the Department's administrative functions. As Deputy Chief Administrative Officer, (b) (6) assisted the Chief Administrative Officer in the running of the Office of Administration; providing coordination between elements, providing technical assistance and oversight to several sworn promotional processes, and represented the Department with Congressional oversight entities. (b) (6) commanded the Department's Disciplinary Review Task Force from July 2013 through December 2015, where he coordinated most Department disciplinary matters for the Chief, Assistant Chief, and Chief Administrative Officer.

On May 1, 2015, (b) (6) was appointed as the Assistant Chief of Police and Chief of Operations, responsible for all Department operations. During his tenure as Assistant Chief, he was responsible for security during major demonstration activities and events, including the 2015 Papal Visit, the 2016 State of the Union address and many other events, as well as the day-to-day law enforcement operations of the Department.

(b) (6) was appointed as the Department's 9th Chief of Police on March 21, 2016. (b) (6) received his Bachelor of Science degree in Criminal Justice from the University of Delaware, and a Master of Science degree in Management from Johns Hopkins University.

U.S. Capitol Police Inaugural Awards Presentation
October 17, 2018
10:30am-11:00am EDT
U.S. Customs and Border Protection Headquarters

Overview:

- The U.S. Capitol Police (USCP) would like to express its appreciation for The U.S. Customs and Border Protection's (CBP) contribution to the 58th Presidential Inauguration held on January 20, 2017 in Washington, DC, USA.
- In support of USCP, CBP provided substantial security and operational coordination to the event.
- USCP intends to provide a special award for CBP Senior Leadership as well as commendation certificates and pins that are personalized for each of the CBP Officers and Agents that assisted USCP for the Inauguration.
- CBP participants will include the CBP Commissioner, Deputy Commissioner, and leadership from the U.S. Border Patrol (USBP), Office of Field Operations (OFO), and Operations Support (OS) at CBP Headquarters, Ronald Reagan Building in Washington DC.
- You will be meeting with (b) (6) Assistant (b) (6) and other key USCP leadership and operators whom played a role in the coordination of the 58th Presidential Inauguration, to include the Presidential Swearing in ceremony at the US Capitol. A full list of participants is below.

Discussion Points:

- It was a great honor for CBP to be asked again to support the USCP for the 58th Presidential Inauguration. We appreciate the opportunity for our men and women whom supported the event to be recognized.
- Over (b) (7)(E) CBP Officers and Agents from OFO and USBP participated in the historic event; OS provided operational coordination for the event.
- CBP is grateful for the opportunity to support USCP and looks forward to supporting if requested for the 59th Presidential Inauguration.
- The overall intent of this meeting is to recognize CBP to include its personnel whom supported the coordination, planning, event security, and operations.

Watch Out For/ If Asked:

- CBP perspective on the Inaugural events and proceedings.
- CBP participation and intent to support future Inaugural events.

Background:

- CBP has maintained a continuous and open dialogue with USCP, well after the 2017 Presidential Inauguration; supporting each State of the Union; deploying (b) (7)(E) .
- USCP last formally visited CBP Headquarters during the Officer/ Agent Deputation Ceremony held shortly before the Inaugural events in 2017.

- Though the 2017 Inauguration has long passed, USCP has dedicated time to recognize with distinction, the men and women of CBP whom contributed to the success of this historic event. CBP graciously accepts.
- The personalized commendation certificates and pins for the participating CBP Officers and Agents will be disseminated after the event.

Press:
(b) (6), USCP Public Information Officer will be on hand to take photos.

CBP/OPA Services Required:
- Photographer
- Videographer

Attachments:
- Biography of USCP Chief (b) (6)

Participants:

CBP
Commissioner
Deputy Commissioner
Linda L. Jacksta, Deputy Executive Assistant Commissioner, Operations Support
(b) (6), (b) (7)(C) Branch Chief, Operations Support
(b) (6), (b) (7)(C) Senior Preparedness Planner, Operations Support
(b) (6), (b) (7)(C) Senior Continuity Manager, Operations Support
(b) (6), (b) (7)(C) Senior Preparedness Planner, Operations Support

US Border Patrol
Office of Field Operations

Non-CBP
(b) (6) Chief, US Capitol Police
(b) (6) Assistant Chief, US Capitol Police
(b) (6) Deputy Chief, US Capitol Police
(b) (6) Deputy Chief, US Capitol Police
(b) (6) Inspector, US Capitol Police
(b) (6) Public Information Officer, US Capitol Police

Staff Responsible for Briefing Memo:
(b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)

Subject: USBP Retention Incentive Preparation
Location: Chief's Teaming Area

Start: Tue 11/6/2018 10:00 AM
End: Tue 11/6/2018 11:00 AM

Recurrence: (none)

Meeting Status: Meeting organizer

Organizer: PROVOST, CARLA (USBP)
Required Attendees: HOOVER, CRINLEY S; LUCK, SCOTT A (USBP)
Optional Attendees: (b) (6), (b) (7)(C)

USBP - Retention Incentives (A...

Post our run through with C2 and helpful war gaming from HRM & Finance, we have reduced the slide deck from 10 main slides to 8. However, we have greatly simplified the focus, the content and the note pages

(b) (5)

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(b) (5)

(b) (5)

(b) (6), (b) (7)(C)

Subject: VLC

Start: Thu 10/4/2018 8:00 AM
End: Thu 10/4/2018 8:30 AM

Recurrence: (none)

Organizer: PROVOST, CARLA (USBP)

(b) (6), (b) (7)(C)

Subject: Wall Briefing for Sen. McConnell (R-Ky.) STAFF
Location: Capitol, Room S-230

Start: Tue 10/16/2018 11:00 AM
End: Tue 10/16/2018 12:00 PM
Show Time As: Tentative

Recurrence: (none)

Meeting Status: Tentatively accepted

Organizer: CBP COMMISSIONER SCHEDULER
Required Attendees: (b) (6), (b) (7)(C) HUFFMAN, BENJAMINE C; LADOWICZ, JOHN P; PROVOST, CARLA (USBP) (b) (6), (b) (7)(C) ; LOWRY, KIM M; (b) (6), (b) (7)(C) OC BRIEFING STAFF; (b) (6), (b) (7)(C)

BM: Yes
Lead Office: OCA
OC POC: (b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)

Subject: WH Immigration Call Prep
Location: NAC 5, 5110 | (b) (7)(E) Pin: (b) (7)(E)

Start: Tue 10/16/2018 2:00 PM
End: Tue 10/16/2018 2:30 PM
Show Time As: Tentative

Recurrence: (none)

Meeting Status: Not yet responded

Organizer: Grady.Scheduler
Required Attendees: S2 Internal; (b) (6), (b) (7)(C) MCALEENAN, KEVIN K; (b) (6), (b) (7)(C) PROVOST, CARLA (USBP); (b) (6), (b) (7)(C) LUCK, SCOTT A (USBP); (b) (6), (b) (7)(C)
Optional Attendees: (b) (6), (b) (7)(C)

DO NOT FORWARD OR COPY THIS INVITATION
If there are any questions, please contact (b) (6)

Attendees:
Acting Deputy Secretary
(b) (6), (b) (7)(C)

Kevin McAleenan
Chief Luck
(b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)

Subject: WH Immigration Call Prep *new time*
Location: Commissioner's Large Conference Room | (b) (7)(E) Pin: (b) (7)(E)

Start: Tue 10/23/2018 4:00 PM
End: Tue 10/23/2018 4:30 PM
Show Time As: Tentative

Recurrence: (none)

Meeting Status: Not yet responded

Organizer: Grady.Scheduler

DO NOT FORWARD OR COPY THIS INVITATION
If there are any questions, please contact (b) (6)

Attendees:
Acting Deputy Secretary
(b) (6), (b) (7)(C)
Kevin McAleenan
Chief Luck
(b) (6), (b) (7)(C)

(b) (6), (b) (7)(C)

Subject: White House Deputies Immigration Call
Location: (b) (7)(E) Pin: (b) (7)(E) (RRB; Commissioner's Small Conference Room)

Start: Thu 11/1/2018 5:00 PM
End: Thu 11/1/2018 5:30 PM
Show Time As: Tentative

Recurrence: (none)

Meeting Status: Not yet responded

Organizer: Grady.Scheduler

DO NOT FORWARD OR COPY THIS INVITATION
If there are any questions, please contact (b) (6) or (b) (6)

Front Office lead:
(b) (6), (b) (7)(C)

Attendees:
Acting Deputy Secretary
(b) (6), (b) (7)(C)
(b) (6), (b) (7)(C) MGMT
Robert Perez/Chief Judson Murdock, CBP
Ron Vitiello/(b) (6), (b) (7)(C) ICE
(b) (6), (b) (7)(C) USCIS
(b) (6), (b) (7)(C) OGC
(b) (6), (b) (7)(C) PLCY

Agenda:

I. CARAVAN UPDATE (State) (2 mins)
II. ASYLUM REG/PROC ROLLOUT (15 mins)
   a. Readout of Oval discussion
   b. Potential court review timeline (DOJ)
   c. Timeline for ramp-up (CBP)
   d. Comms strategy (Comms)
III. TEMPORARY WALL (10 mins)
   a. Legal authority (WHCO)
   b. Operational timeline (DOD)
IV. TEMPORARY HOUSING (5 mins)
   a. Legal authority (WHCO) & funding available (OMB)
   b. Update on status (DOD/ICE)
   c. Update on timeline (DOD)
V. OTHER ITEMS (0 mins)

These will not be discussed on the call, but we should remember ongoing workstreams on:

a. Credible fear improvements
b. Surge operation updates
c. Port matrix

d. Merit-based immigration: OPT, H-1B

Invited Principals:
HHS – Deputy Secretary (b) (6), (b) (7)(C)
State – Assistant Secretary (b) (6)
DOJ – Deputy Attorney General Rod Rosenstein, Assistant Attorney General Steven Engel
DOD – Assistant Secretary (b) (6)
COS – Deputy Chief of Staff (b) (6)
DCOS/P – Deputy Policy Coordinator (b) (6)
DPC – Deputy Director (b) (6)
NSC – Homeland Security Advisor (b) (6) Senior Director (b) (6)
OMB – Deputy Director (b) (6)
WHCO – Deputy Counsel (b) (6)
OLA – Deputy Director (b) (6)
WH Comms – Deputy Director (b) (6)
Staff Sec – Deputy Staff Secretary (b) (6)
OVP – (b) (6)

11.01.18 - WH Immigration Cal...

(b) (7)(E)

(b) (7)(E)

(b) (7)(E)

(b) (7)(E)

(b) (7)(E)

(b) (7)(E)

(b) (7)(E)

(b) (6), (b) (7)(C)

Subject: White House Deputies Immigration Call
Location: (b) (7)(E) Pin: (b) (7)(E)

Start: Tue 10/16/2018 4:30 PM
End: Tue 10/16/2018 5:00 PM
Show Time As: Tentative

Recurrence: (none)

Meeting Status: Not yet responded

Organizer: Grady.Scheduler
Required Attendees: 'S2 Internal (b) (7)(E) MCALEENAN, KEVIN K; (b) (6), (b) (7)(C) PROVOST, CARLA (USBP); (b) (6), (b) (7)(C) LUCK, SCOTT A (USBP); R (b) (6), (b) (7)(C)

Optional Attendees: (b) (6), (b) (7)(C)

DO NOT FORWARD OR COPY THIS INVITATION
If there are any questions, please contact (b) (6), (b) (7)(C)

Front Office lead:
(b) (6), (b) (7)(C)

Attendees:
Acting Deputy Secretary
Kevin McAleenan/Chief Luck, CBP
(b) (6), (b) (7)(C) ICE
(b) (6), (b) (7)(C) USCIS
(b) (6), (b) (7)(C) OGC
(b) (6), (b) (7)(C) PLCY

Agenda:

I. **Merit-Based and Related Immigration Initiatives**
   a. H-1B Pre-Registration Reg (DHS) (2 mins)
   b. H-1B Executive Action (DPC) (3 mins)

II. **Border Security & Ending Catch and Release**
   a. Mexico Negotiations
      i. Readout of Prosperity and Security Conference (DHS) (2 mins)
      ii. NSC #WHA Working Group Next Steps (NSC) (5 mins)
   b. Emergency Authorities & Process (DCOS) (5 mins)
      i. Return to Territory
      ii. Offsite Asylum Processing
   c. Check-in on Credible Fear Working Group (DHS) (2 mins) (*list for deputy-level review expected by 10/19*)
   d. Border Wall (DCOS) (10 mins)
      i. DOD Assistance/Legal Restrictions (DOD/WHCO)
      ii. Increasing Speed of Construction (DHS)

Invited Principals:
HHS – Deputy Secretary (b) (6)
State – Assistant Secretary (b) (6)
DOJ – Deputy Attorney General Rod Rosenstein, Assistant Attorney General (b) (6)
DOD – Assistant Secretary (b) (6)
COS – Deputy Chief of Staff (b) (6)
DCOS/P – Deputy Policy Coordinator (b) (6)
DPC – Deputy Director Lan (b) (6)
NSC – Homeland Security Advisor (b) (6) Senior Director (b) (6)
OMB – Deputy Director (b) (6)
WHCO – Deputy Counsel (b) (6)
OLA – Deputy Director (b) (6)
WH Comms – Deputy Director (b) (6)
Staff Sec – Deputy Staff Secretary (b) (6)
OVP – (b) (6)

(b) (6), (b) (7)(C)

Subject: White House Deputies Immigration Call *Director (b) (6), (b) (7)(C) to chair*
Location: (b) (7)(E) Pin: (b) (7)(E)

Start: Tue 10/9/2018 4:30 PM
End: Tue 10/9/2018 5:00 PM

Recurrence: (none)

Meeting Status: Accepted

Organizer: Grady.Scheduler
Required Attendees: (b) (6), (b) (7)(C) PROVOST, CARLA (b) (6), (b) (7)(C) CBP COMMISSIONER SCHEDULER; HUDSON, RICHARD M; PETERLIN, MEGHANN K; (b) (6), (b) (7)(C) LUCK, SCOTT A (USBP); (b) (6), (b) (7)(C)

DO NOT FORWARD OR COPY THIS INVITATION
If there are any questions, please contact (b) (6)

Front Office lead:
(b) (6), (b) (7)(C)

Attendees:
(b) (6), (b) (7)(C) for Acting Deputy Secretary
Kevin McAleenan/Chief Provost, CBP
(b) (6), (b) (7)(C) ICE
(b) (6), (b) (7)(C), USCIS
(b) (6), (b) (7)(C) OGC
(b) (6), (b) (7)(C) PLCY

Agenda:

I. Readout of 10/5 POTUS Meeting (DCOS) (5 mins)
II. Merit-Based and Related Immigration Initiatives
  a. H-1B Reforms (5 mins)
    i. Updated timeframe on DHS regs (DHS)
    ii. Updated timeframe on executive action (DPC)
  b. Diversity Visa Reforms (State) (2 mins)
  c. Improving/Amending OPT (DHS) (5 mins)
    i. Background: The White House proposes a staff-level briefing about the program, followed by a PCC, DC, and PC to resolve open questions about possible improvements to OPT.
III. Border Security & Ending Catch and Release
  a. Next Steps from Credible Fear Working Group (DHS) (5 mins)
  b. Analysis of DHS-HHS MOA Effect on UAC sponsorship (DHS/HHS) (5 mins)
  c. Other (10 mins)
    i. Finalizing the asylum regulation (DHS/DOJ)

ii. Family unit expedited docket (DHS/DOJ) (Is this tactic being messaged to Central America/Mexico?
iii. In-custody UAC adjudication (HHS)

Invited Principals:
HHS – Deputy Secretary (b) (6)
State – Assistant Secretary (b) (6)
DOJ – Deputy Attorney General Rod Rosenstein, Assistant Attorney General (b) (6)
DOD – Assistant Secretary (b) (6)
COS – Deputy Chief of Staff (b) (6)
DCOS/P – Deputy Policy Coordinator (b) (6)
DPC – Deputy Director (b) (6)
NSC – Homeland Security Advisor (b) (6) Senior Director (b) (6)
OMB – Deputy Director (b) (6)
WHCO – Deputy Counsel (b) (6)
OLA – Deputy Director (b) (6)
WH Comms – Deputy Director (b) (6)
Staff Sec – Deputy Staff Secretary (b) (6)
OVP – (b) (6)

(b) (6), (b) (7)(C)

Subject: White House Deputies Immigration Call *Director (b) (6), (b) (7)(C) to chair*
Location: (b) (7)(E) Pin: (b) (7)(E)

Start: Tue 10/9/2018 4:30 PM
End: Tue 10/9/2018 5:00 PM

Recurrence: (none)

Meeting Status: Accepted

Organizer: Grady.Scheduler
Required Attendees: (b) (6), (b) (7)(C) PROVOST, CARLA (USBP); (b) (6), (b) (7)(C) CBP COMMISSIONER SCHEDULER; HUDSON, RICHARD M; PETERLIN, MEGHANN K; (b) (6), (b) (7)(C) LUCK, SCOTT A (USBP); (b) (6), (b) (7)(C)

DO NOT FORWARD OR COPY THIS INVITATION
If there are any questions, please contact (b) (6)

Front Office lead:
(b) (6), (b) (7)(C)

Attendees:
(b) (6), (b) (7)(C) for Acting Deputy Secretary
Kevin McAleenan/Chief Provost, CBP
(b) (6), (b) (7)(C) ICE
(b) (6), (b) (7)(C) USCIS
(b) (6), (b) (7)(C) OGC
(b) (6), (b) (7)(C) PLCY

Agenda:

I. Readout of 10/5 POTUS Meeting (DCOS) (5 mins)
II. Merit-Based and Related Immigration Initiatives
  a. H-1B Reforms (5 mins)
    i. Updated timeframe on DHS regs (DHS)
    ii. Updated timeframe on executive action (DPC)
  b. Diversity Visa Reforms (State) (2 mins)
  c. Improving/Amending OPT (DHS) (5 mins)
    i. Background: The White House proposes a staff-level briefing about the program, followed by a PCC, DC, and PC to resolve open questions about possible improvements to OPT.
III. Border Security & Ending Catch and Release
  a. Next Steps from Credible Fear Working Group (DHS) (5 mins)
  b. Analysis of DHS-HHS MOA Effect on UAC sponsorship (DHS/HHS) (5 mins)
  c. Other (10 mins)
    i. Finalizing the asylum regulation (DHS/DOJ)

ii. Family unit expedited docket (DHS/DOJ) (Is this tactic being messaged to Central America/Mexico?
iii. In-custody UAC adjudication (HHS)

Invited Principals:
HHS – Deputy Secretary (b) (6)
State – Assistant Secretary (b) (6)
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WHCO – Deputy Counsel (b) (6)
OLA – Deputy Director (b) (6)
WH Comms – Deputy Director (b) (6)
Staff Sec – Deputy Staff Secretary (b) (6)
OVP – (b) (6)

(b) (6), (b) (7)(C)

Subject: White House Deputies Immigration Call *final materials attached*
Location: (b) (7)(E) Pin: (b) (7)(E)

Start: Tue 10/23/2018 4:30 PM
End: Tue 10/23/2018 5:00 PM
Show Time As: Tentative

Recurrence: (none)

Meeting Status: Not yet responded

Organizer: Grady.Scheduler

DO NOT FORWARD OR COPY THIS INVITATION
If there are any questions, please contact (b) (6)

Front Office lead:
(b) (6), (b) (7)(C)

Attendees:
Acting Deputy Secretary
Kevin McAleenan/Chief Luck, CBP
(b) (6), (b) (7)(C) ICE
(b) (6), (b) (7)(C) USCIS
(b) (6), (b) (7)(C) OGC
(b) (6), (b) (7)(C) PLCY

Agenda:

I. Giving Incentives to or Applying Pressure on Mexico in Order to Secure a Safe Third Country Agreement
- a. Support the Cost of Additional Mexican Enforcement and Refugee Processing Efforts
- b. Funding Specific Projects that are a Priority for Mexico
- c. Discretionary Increased Security Screening along the Southwest Border
- d. Port of Entry (POE) Reclassifications, Closures, or Heightened Screening
- e. Metering of Asylum Seekers at Ports of Entry
- f. Visa Restrictions on Mexico
- g. Financial Sanctions on Mexico (and/or the Northern Triangle)

II. Other Executive Actions to Secure the Border
- a. Return to Territory
- b. Update Asylum Regulation to Exclude Certain Criminals and Persons Subject to Future 212(f) Proclamations
- c. Establish Asylum Processing Centers Outside the Mainland United States
- d. Enhance Existing Refugee Processing Capacity in Norther Triangle Countries and Costa Rica, and/or Expand to Mexico
- e. Sign a Safe Third Country Agreement with an Alternate International Partner

Invited Principals:
HHS – Deputy Secretary (b) (6)
State – Assistant Secretary (b) (6), (b) (7)(C)

DOJ – Deputy Attorney General Rod Rosenstein, Assistant Attorney General (b) (6), (b) (7)(C)
DOD – Assistant Secretary (b) (6), (b) (7)(C)
COS – Deputy Chief of Staff (b) (6), (b) (7)(C)
DCOS/P – Deputy Policy Coordinator (b) (6), (b) (7)(C)
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WHCO – Deputy Counsel (b) (6), (b) (7)(C)
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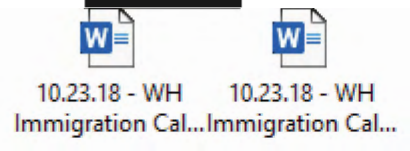
WH Comms – Deputy Director (b) (6), (b) (7)(C)
Staff Sec – Deputy Staff Secretary (b) (6), (b) (7)(C)
OVP – (b) (6), (b) (7)(C)



WHITE HOUSE DEPUTIES IMMIGRATION CALL
October 23, 2018

Talking Points

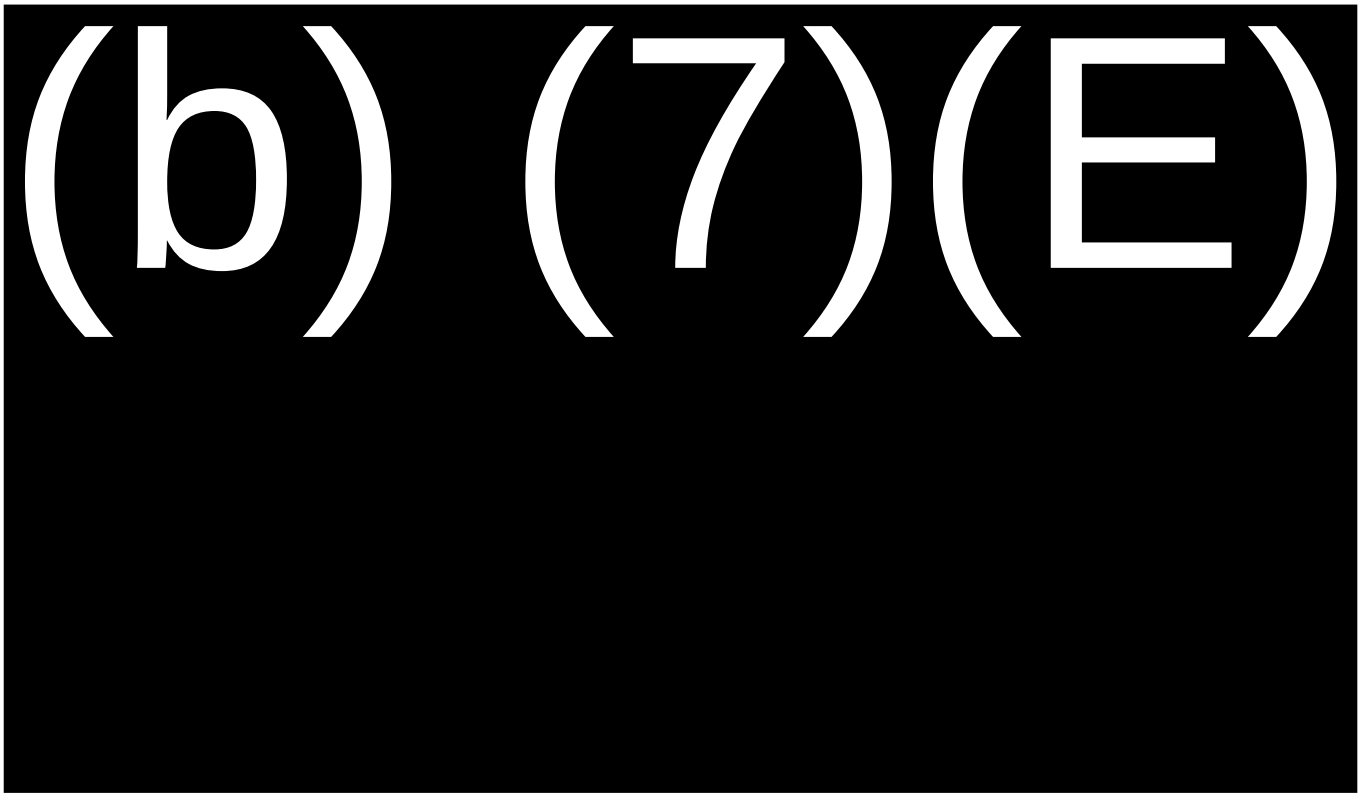
I. Giving Incentives to or Applying Pressure on Mexico in Order to Secure a Safe Third Country Agreement

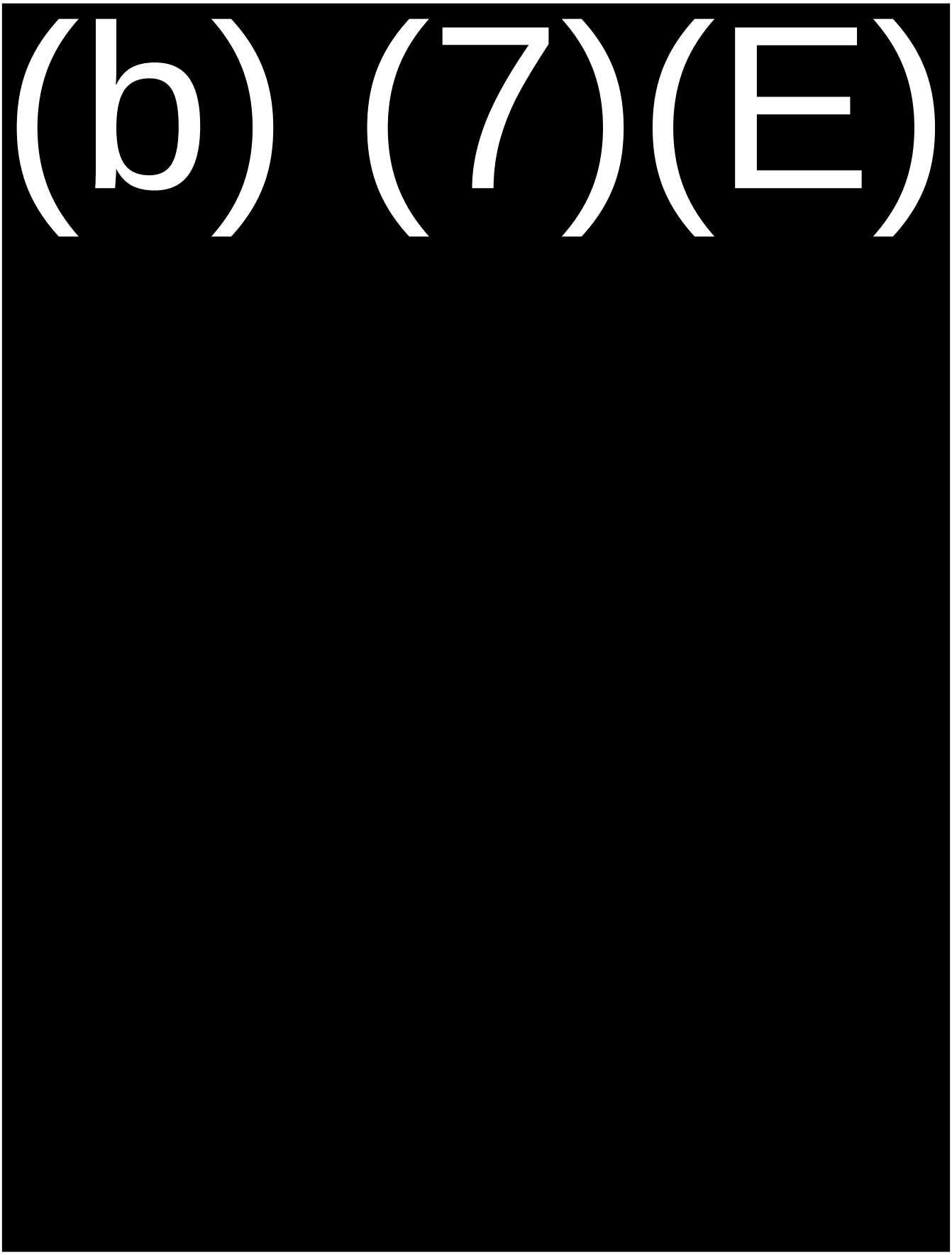
a. Support the Cost of Additional Mexican Enforcement and Refugee Processing Efforts

- The Department of State's Bureau of Population, Refugees, and Migration (PRM) currently has funding available to scale up the United Nations High Commissioner for Refugees (UNHCR) activities in Mexico in the near-term. Anything beyond that would need to be coordinated between PRM and the new AMLO administration.
- DHS is working with the Department of State to consider available Presidential authority in a national security determination to provide immediate detention and repatriation assistance to Mexico and/or other countries in the region.
  - This assistance would primarily address shortfalls in ground and air transportation of individuals identified for return within the region. This determination could make funds immediately available and allow DHS to provide immediate assistance.

b. Funding Specific Projects that are a Priority for Mexico

- As it refers to AMLO priority projects to increase development in Southern Mexico and increase prosperity and security in Central America, DHS is already engaged in activities to accomplish the latter and would be open to reprioritization to align targeted foreign assistance with Mexico (or Central America).
  - Note that State and USAID control funding for priority projects in Mexico (and Central America).

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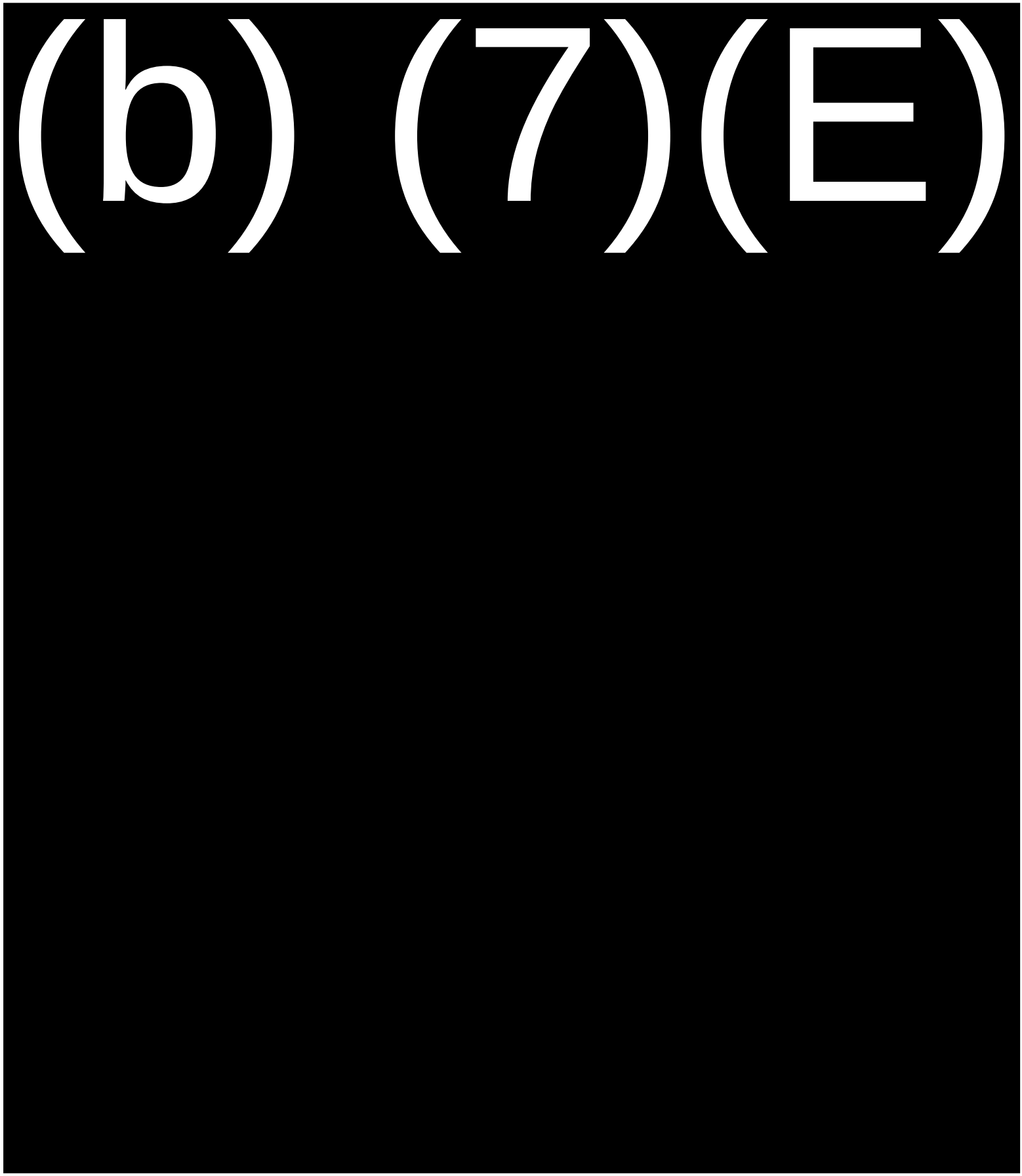
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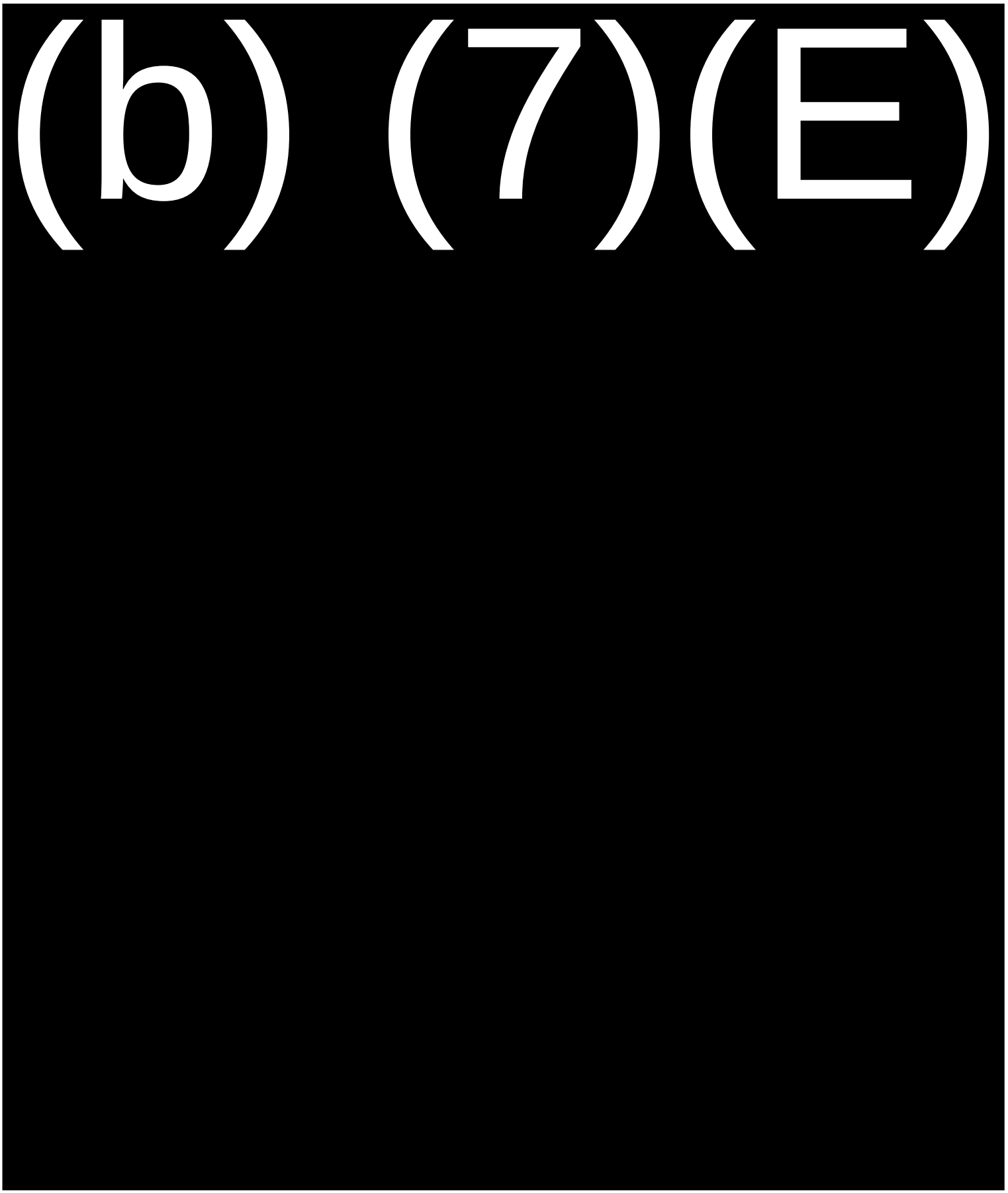
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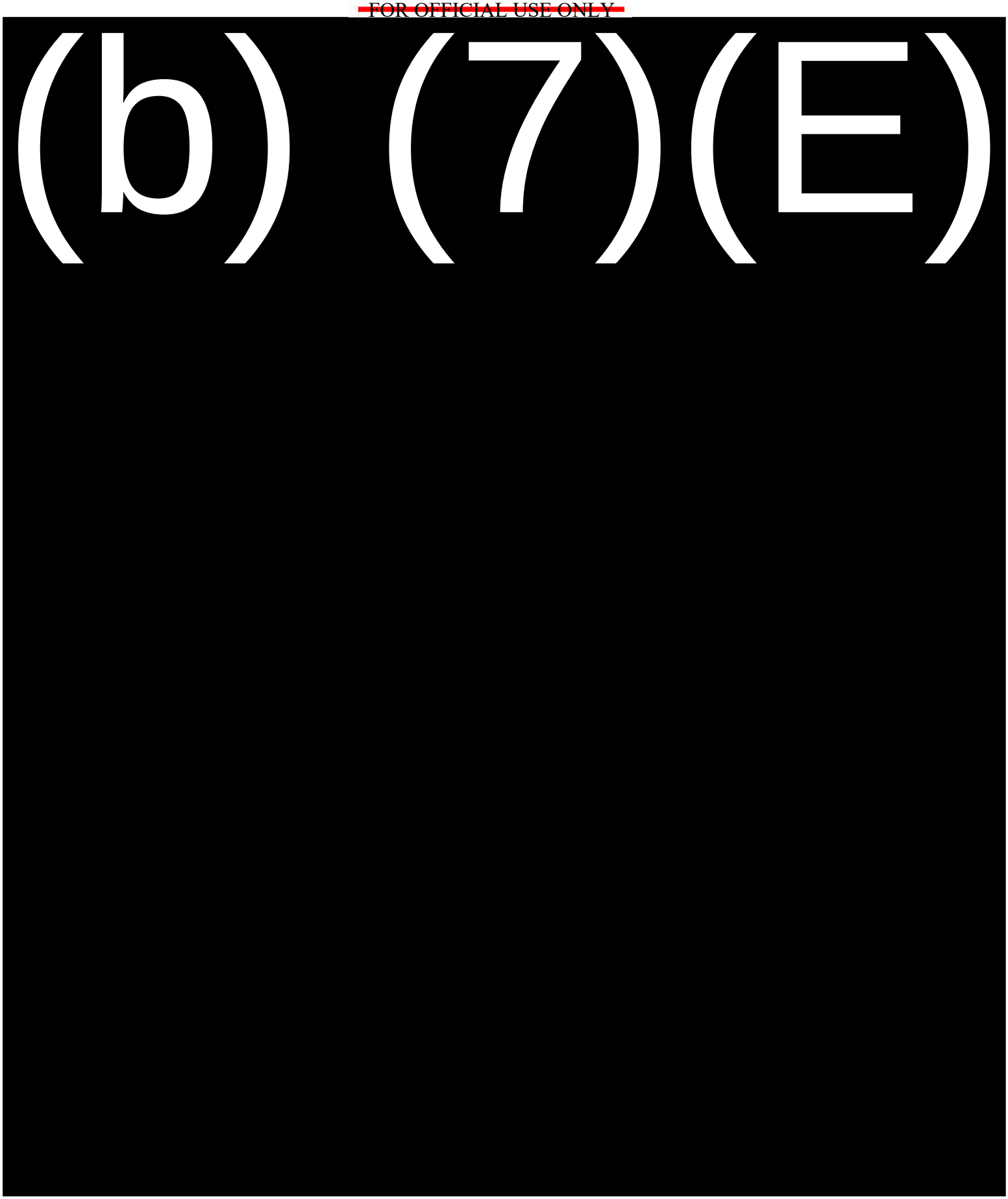
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WHITE HOUSE DEPUTIES IMMIGRATION CALL
Agenda

I. Giving Incentives to or Applying Pressure on Mexico in Order to Secure a Safe Third Country Agreement

a. Support the Cost of Additional Mexican Enforcement and Refugee Processing Efforts
b. Funding Specific Projects that are a Priority for Mexico
c. Discretionary Increased Security Screening along the Southwest Border
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d. Enhance Existing Refugee Processing Capacity in Norther Triangle Countries and Costa Rica, and/or Expand to Mexico
e. Sign a Safe Third Country Agreement with an Alternate International Partner

(b) (6), (b) (7)(C)

Subject: White House Deputies Immigration Call Follow-up
Location: (b) (7)(E) Pin: (b) (7)(E)

Start: Wed 10/24/2018 5:30 PM
End: Wed 10/24/2018 6:00 PM
Show Time As: Tentative

Recurrence: (none)

Meeting Status: Not yet responded

Organizer: Grady.Scheduler

DO NOT FORWARD OR COPY THIS INVITATION
If there are any questions, please contact (b) (6)

Front Office lead:
(b) (6), (b) (7)(C)

Attendees:
Acting Deputy Secretary
(b) (6), (b) (7)(C)
Kevin McAleenan/Chief Luck, CBP
(b) (6), (b) (7)(C) ICE
(b) (6), (b) (7)(C) USCIS
(b) (6), (b) (7)(C) OGC
(b) (6), (b) (7)(C) PLCY

Agenda:

- **I. UPDATES (15 mins)**
  - a. Asylum Regulation / Executive Action (DOJ)
  - b. Surge Requests / Authority (DHS/NSC)
  - c. Foreign Aid (State/NSC)
  - d. Port Matrix (DPC)
  - e. List of Potential Agency Actions (DOD, DOJ, State)
- **II. DHS/STATE MEXICO UPDATE (10 mins)**
- **III. CONCLUSION (5 mins)**

Invited Principals:
HHS – Deputy Secretary (b) (6)
State – Assistant Secretary (b) (6)
DOJ – Deputy Attorney General Rod Rosenstein, Assistant Attorney General (b) (6)
DOD – Assistant Secretary (b) (6)
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WH Comms – Deputy Director (b) (6)
Staff Sec – Deputy Staff Secretary (b) (6)
OVP – (b) (6)

(b) (6), (b) (7)(C)

Subject: Yuma prep

Start: Mon 10/29/2018 4:00 PM
End: Mon 10/29/2018 4:45 PM

Recurrence: (none)

Organizer: PROVOST, CARLA (USBP)

(b) (6), (b) (7)(C)

Subject: Yuma WSJ article interview
Location: Yuma, AZ

Start: Wed 10/31/2018 12:00 AM
End: Sat 11/3/2018 12:00 AM
Show Time As: Out of Office

Recurrence: (none)

Organizer: PROVOST, CARLA (USBP)

Categories: Travel

Yuma as a model for Border Security, then and now.

(b) (6), (b) (7)(C)

Subject: (b) (6), (b) (7)(C) (b) (6), (b) (7)(C)

Start: Tue 11/20/2018 7:00 PM
End: Tue 11/20/2018 7:30 PM
Show Time As: Tentative

Recurrence: (none)

Meeting Status: Tentatively accepted

Organizer: (b) (6)

Join from PC, Mac, Linux, iOS or Android: (b) (7)(E)

(b) (6), (b) (7)(C)
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